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ABSTRACT

The report discusses many ways for police managers to improve the success of their departments' criminal investigation efforts. Management issues addressed include budgeting and allocating resources; improving relationships with the prosecutor; interacting with the public, especially victims and witnesses; improving relationships between investigators and patrol officers; decentralizing detective assignments, particularly in neighborhood team policing approaches; using civilian employees for investigative tasks; assigning personnel; supervising and training investigative personnel; improving investigative procedures; and conducting investigative activities not related to specific cases. The report's suggestions are based on an examination of the investigative practices of six selected police departments, a review of the relevant literature and recent experiments in other departments, and the observations and conclusions of a panel of experienced police officials. Facsimile reproductions of forms used in investigative police work illustrate the text. Appended are: instructions to prospective lineup witnesses, District of Columbia Police Department; evaluation guide for the New York City Police Department; a collection of measurement techniques for evaluating innovative police programs; and materials on management by objectives. (Author/AJ)

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MANAGING CRIMINAL INVESTIGATIONS

By
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FOREWORD

Identifying and apprehending criminals has never been easy, and it is steadily growing harder. Soaring crime rates strain the resources and capabilities of law enforcement agencies. Criminals are more sophisticated, with some using modern technology for illegal purposes. Current bleak economic conditions may well stimulate more crime and certainly reduce the tax dollars available to pay for police services. Finally, as our cities grow larger and more impersonal, many people are reluctant to "get involved," and offenders slip away.

Police departments throughout the country — urban, suburban, or rural — face rapidly increasing numbers of crimes to be investigated. In many jurisdictions, the investigative workload is so heavy that a detective can spend at most one or two hours on any given case. As more and more crimes remain unsolved, more criminals remain at large and crime — and the fear of crime — grows.

In the face of this challenge, a number of police departments have attempted to improve the effectiveness of their investigative activities through various innovative procedures and management techniques. A few of these innovations have already demonstrated their value in the departments which have implemented them. Many more ideas appear promising but have yet to be proven. This report discusses a number of new methods which police managers can adopt to enlarge their investigative success. It also describes what has been learned through experience with these innovations in several departments.

It is especially interesting to note that most of the ideas presented here require little or no additional resources. We anticipate that every police department will find at least one idea in this "Prescriptive Package" that can improve its effectiveness in solving crimes. We hope this report generates many more good ideas, as the first step in a continuing process of improving the crime-solving capabilities of the nation's police.

Gerald M. Caplan, *Director*
National Institute of Law Enforcement
and Criminal Justice

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Peter B. Bloch
Donald R. Weidman

ABSTRACT

This report discusses many ways for police managers to improve the success of their departments' criminal investigation efforts. Management issues addressed include budgeting and allocating resources; improving relationships with the prosecutor; interacting with the public, especially victims and witnesses; improving relationships between investigators and patrol officers; decentralizing detective assignments, particularly in neighborhood team policing approaches; using civilian employees for investigative tasks; assigning personnel; supervising and training investigative personnel; improving investigative procedures; and conducting investigative activities not related to specific cases.

The report's suggestions are based on an examination of the investigative practices of six selected police departments, a review of the relevant literature and recent experiments in other departments, and the observations and conclusions of a panel of experienced police officials.

CHAPTER I. INTRODUCTION AND SUMMARY

A. Purpose of the Manual

For the public, the term "criminal investigations" often brings to mind the image of The Detective — a painstaking individual who single-handedly digs out evidence, collects tips from informants, identifies the criminal, tracks him down and brings him to justice. Many police departments even act as if solving crimes depended entirely upon the number of detectives in the department. Typically, exceptionally bright or experienced officers are designated as detectives and, as long as they make enough arrests, few questions are asked.

The theme of this report is that the entire police department contributes to the success of criminal investigations. While skilled detectives are often essential, there are many things police managers — from first-line supervisors to the chief — can do to improve investigative success. In fact, supervisors and higher level officials often are in a better position to improve the investigative process than detectives are.

This report is written primarily for police chiefs and heads of detective units, but should also be of interest to other police officials and to local government officials such as city managers. It discusses a number of areas which offer a potential for greater success in investigating crimes. Concrete steps are offered, many of which have been implemented in one or more police departments. Where available, information is presented on how successful the action has been (or how satisfied the users are). But in many cases there is not yet enough evidence to draw firm conclusions. Even when there is evidence that something has worked in other circumstances. To help managers decide whether to use an action in the context of their own departments, a large part of this report is devoted to describing the investigative systems of six police departments that have tried most of the suggested innovations.

Since so many aspects of police work affect the success of criminal investigations, most are treated only briefly. Hopefully, the discussions will stimulate thought and generate ideas. There are few other books on the subject.[1] However, the RAND Corporation currently is engaged in a major study (funded by the Law Enforcement Assistance Administration), of investigative techniques and management approaches and the report should be available in midyear, 1976. Considerably more study and discussion is needed on various aspects of managing criminal investigation.

B. Sources of Information

The information presented here represents the ideas and experiences of a variety of police departments and experts. Available literature has been reviewed, conference results examined, and extensive discussions held with police officials and specialists on investigation.

The development of the document has been guided by a panel of experienced police officials concerned with effective management of criminal investigations.

The panelists were:

- Chief John Fabbri (Fremont, California)
- Chief Carl Goodin (Cincinnati, Ohio)
- Chief Francis Hand (DeKalb County, Georgia)
- Major Sidney Harlow (Kansas City, Missouri)
- Chief Thomas Hastings (Rochester, New York)
- Assistant Chief Burtell Jefferson (Washington, D. C.)
- Deputy Chief James Meehan (New York City)
- Mr. William H. T. Smith[2] (Police Foundation).

[1] One book, *Sunnyvale – Department of Public Safety – Investigation – Apprehension Control and Management System* by C. T. Crabtree (Sunnyvale, California, 1973) discusses the process of managing personnel assigned to apprehension activities, but it limits itself to apprehension and does not consider the full investigative process, which includes case preparation and prosecution. See also G. Douglas Gourley, *Effective Police Organization and Management*, Volume 5, Chapter X, "Specialization of Investigative Duties," California State College at Los Angeles, 1966 (available from the National Technical Information Service, Springfield, Virginia 22151).

[2] Mr. Smith was formerly the First Deputy Commissioner of the New York City Police Department.

The panelists helped formulate issues, identified departments whose experiences should be examined and reviewed drafts of the report. All panelists' views have been carefully considered, although individual panelists may not agree with every point made here.

The principal method of collecting information consisted of field visits, two to four days long, to six police departments — Cincinnati, DeKalb County, Fremont, New York City, Rochester, and Washington, D. C. — selected because they were trying to improve their management of criminal investigations. The sample represents a range of sizes, geographic locations, socioeconomic conditions and management approaches.

C. Major Management Issues

Three major types of issues in managing criminal investigations have been distinguished:

- managing police activities on the basis of outcome;
- "strategic" choices available to a department in developing an investigative system; and
- "tactical" choices available to a department for implementing strategies.

Within each of these areas a police department must address a variety of issues and has a variety of alternative courses of action available.

1. *Management to achieve successful outcomes.* The traditional police manager believes he knows what good police work is and that the tasks to be performed are pre-determined; his job is to solve problems which stand in the way of performing those tasks. By contrast, managing to achieve outcomes involves deciding what an organization is supposed to achieve, testing different approaches for achieving the desired results and modifying procedures to improve their performance.

The concept that a manager is responsible for results and should employ available resources to achieve those results has a number of operational implications. Desired results must be stated with enough precision that one can tell whether they are being achieved. Thus, the department needs to specify at least some of its objectives and develop objective means of measuring results. It also must be willing to change its strategies and tactics to improve results and must have systematic procedures for changing them as the evidence indicates.

Setting meaningful objectives for achieving the multiple goals of a police department is no easy task. The objectives must be *practical.* They must be meaningful and acceptable to everyone who is guided by them — detectives and patrol officers in particular — and must be achievable. The use of task forces, with members from several levels of the department, is one way of establishing practical goals and objectives and establishing a commitment to achieve them.

A critical part of any system of managing to achieve outcomes is measurement of progress. Sources of useful information for measuring results include:

- Police records, such as arrest and clearance statistics, and measures which can be computed from them;
- Observation by persons who accompany police officers during their tours;
- Performance ratings of officers;
- Anonymous interviews of police officers; and
- Surveys of the experiences or opinions of citizens.

2. *Strategic management decisions.* Strategic management decisions generally involve high level, or policy questions. There is considerable variation from one department to another as to the level at which specific decisions are made. In some departments a certain decision is the responsibility of patrol officers; in other departments it routinely involves the chief.

a. *Strategies involving outsiders.* Some critical strategy decisions involve persons *outside of the department.* They include:

- Determining a department's budget;
- Allocating personnel to police functions;
- Relationship with the prosecutor's office; and
- Interaction with the public, especially victims and witnesses.

Determining budget levels can be directly influenced by setting goals and measuring results. One department obtained an increased allotment by demonstrating to city budget officials how much it cost to provide a desired level of services. Another department, which felt that its effectiveness was limited by the performance of other parts of the criminal justice system, helped the prosecutor and the courts obtain funding for their programs.

A major strategic decision is to determine *what percentage of the total budget will be devoted to investigations.* Most departments appear not to consider this question directly but instead make separate estimates for investigations and for other police units, based on existing unit levels. The percentage of a department's personnel assigned to investigations was found to vary greatly — from 8 percent to 22 percent — among the cities. The

variability suggests that there is no clearly accepted level of investigative personnel for a department. Moreover, even though most routine detective work can be handled by a single detective, many departments normally operate in two-man teams. These matters are discussed in detail in Chapter III.

Police Departments rarely seem to have a fully satisfactory *relationship with the prosecutor's office*, but a number of procedures to promote good interactions are available. These include having the department designate court liaison officers, either for particular cases or classes of cases; having an assistant district attorney on 24-hour call to assist the police with warrants and arraignments; having prosecutors teach at the police academy; and having the prosecutor provide case disposition information to the police. In the District of Columbia, for example, the prosecutor notifies the department which cases had to be dropped because of deficiencies in police work. In no department visited, however, were there effective procedures for the police to offer comments or suggestions to the prosecutor.

Considerable variation can be found in policies for returning evidence or recovered property to its owners. The police generally favored more liberal return policies because the public would be better served and because it would reduce the quantities of goods stored by police. Prosecutors, however — who set or at least strongly influence property return policies — seem motivated primarily by concern for the "best evidence" rule. A police department could probably save money and serve the public better by working out more liberal policies with the prosecutor; such procedures as carefully photographing potential evidence in the presence of defense counsel could be used to avoid later difficulties in trying cases.

Some departments have found that investigative procedures can be revised to greatly reduce the burden on crime victims and witnesses. Although the revision may not improve results for any given case, the departments feel that in the long run citizens are more cooperative and helpful if the police have a reputation for dealing with them efficiently and courteously. Two other steps can improve citizen cooperation: encouraging officers to question witnesses out of the hearing of suspects, and encouraging the courts to establish reasonable witness fees for court appearances. It also is reasonable that witnesses should be paid for time spent working with the police on major investigations and that employers be reimbursed for the lost time, but no department is known to have such provisions.

b. *Strategies primarily involving insiders.* Strategic issues mainly involving activities *within a department* include:

- Relationship between detectives and patrol officers,
- Decentralization and team policing,
- Personnel policies and evaluation procedures, and
- The use of civilians.

The advisory panel and the departments studied unanimously agreed that *cooperation between detectives and patrol officers is essential to improving success in investigations.* The two reasons most often cited are the crucial importance of the preliminary stage in many investigations and the fact that patrol officers are potentially one of the best sources of information for detectives. The departments all felt they had profited by reducing status differences between detectives and patrol officers. More than one department has eliminated pay and rank differentials. Fremont even limits detective assignments to two years, after which the officer returns to a patrol assignment. Departments which do not have these options, perhaps because of civil service regulations, have found ways of upgrading the patrol officer's profession, including defining new "specialist" job categories. Some departments strongly urge that detectives not be reassigned to patrol as a disciplinary measure.

Several departments are experimenting with various forms of *decentralization*, and the results are encouraging All accept the need for a specialized central investigative unit to handle certain types of cases or to give technical assistance to non-central investigators. However, even a "partial" decentralization of detectives has improved results in Cincinnati.

Personnel policies can have a significant impact on the success of an investigation system. In many cases, the procedures used to evaluate officer performance actually discourage effective investigations. For example, rating officers on the number of arrests they have made fosters an unwillingness to share information or to help out someone else's case; similarly, rating detective units on clearance rates can cause them to spend too much time trying to tie-in suspects to additional crimes.

The departments studied used various approaches to evaluating performance, so that detectives would be encouraged to contribute to the department's over-all effectiveness. It is not necessary to rate all

employees on the same scale, and rating scales can be tailored to the different types of contributions expected from different employees. To help ensure that officers are properly rated, a New York supervisor's own ratings are based in part on his evaluation skills.

Orange, California, has used promises of department-wide pay increases to improve investigative effectiveness. (Although there are many reservations about the significance of the Orange results, other departments may profit from considering variations of the approach.)

A recent study of the use of *civilians in police departments* indicates that civilians often can effectively perform many investigative functions normally reserved for sworn officers, frequently at a considerable cost savings.

3. *Tactical decisions*. Tactical decisions made by a department involve day-to-day operational procedures used to implement a given strategy.

Tactical issues examined in this study include:

- Assignment of personnel,
- Procedures for conducting investigations.
- Supervision of investigative personnel, and
- Conduct of activities not directly related to specific cases.

a. *Assignment of personnel.* In developing procedures to assign personnel to investigative activities, a department must resolve questions of specialization and of who handles which case.

The departments studied vary widely in the degree of specialization, and the best arrangement seems to depend upon local conditions. Nevertheless, five of the six departments felt they had improved their investigative effectiveness by moving away from specialization and toward more dependence on "generalist" investigators. Cincinnati and Rochester in particular have data to support their impressions. Recent research shows that criminals do not specialize in one type of crime as much as commonly thought. Thus, departments should consider experimenting with giving detectives greater variety in the types of cases they handle.

Assigning case responsibility within units is most often left to the discretion of the unit supervisor, who usually is guided by the detectives' existing workloads. In one city, detectives are on call at regularly scheduled intervals; a detective takes responsibility for all cases that come in during his time on call, although the supervisor may later reassign cases. For most crimes in Fremont, a patrol officer on the scene may investigate a case himself, providing he devotes at least 60 percent of his time to calls for ordinary police service.

None of the methods in use seemed clearly good or bad. Instead, certain features that could be incorporated into any of the systems appear more important than the assignment method itself. For example, the supervisor should see that all detectives are occasionally assigned to types of cases of special interest to them or which make use of their special talents. Supervisors should be cautious about using only a few trusted individuals to handle all particularly important cases. Although there is logic to such practice, it is important that detectives be assigned according to merit rather than favoritism — so that, through good performance, they can develop their skills and earn the right to be trusted with important cases.

b. *Procedures for conducting investigations.* Many questions related to procedures used in investigations can be identified. The three most important appear to be the design of reporting forms, the methods of collecting physical evidence, and early case closure procedures.

Form design may affect quality of both the preliminary investigation and the transition to the follow-up phase. In Rochester, for example, the officer must check a box to indicate if a certain item of information is not avaiable--thus reducing the chance that the information will be lost through oversight or inexperience.

For the *collection of physical evidence*, some departments believe strongly in evidence technicians, while others prefer to let investigative patrol officers lift fingerprints and collect other evidence during their preliminary investigation. The results so far do not clearly support either alternative, but when evidence technicians are used, there is a clear need to coordinate their work with sworn officers. A second issue is to decide how much evidence to collect. In many departments it appears that physical evidence, including latent prints, is useful primarily in obtaining convictions after criminals are apprehended; it is rarely useful in identifying and locating the perpetrators. Thus, departments might enjoy a significant saving in time and expense, without adversely affecting their investigative success, by carefully limiting the evidence that is collected in all but the most serious cases.

Police departments usually have procedures for stopping work on a case which seems unlikely to be solved, but most departments do so with reluctance. Several departments have been pleased with the results of *early case closing procedures*, in which the case immediately becomes inactive if the prelimi-

nary investigation does not turn up a promising lead. The assumption is that one can identify at the outset some cases that are unlikely to be solved, so no investigative effort should be wasted on them. Fremont has even computed the correlations between particular items of information and eventual success and has incorporated the results into a checklist which gives each case a solvability score. The biggest concern over early case closing procedures is the reaction of citizens when they find out their cases are not being investigated; but so far experience indicates that most citizens accept a realistic appraisal of the situation.

c. *Supervision of investigative personnel.* The most important step in supervising investigators is to realize that they can and should be supervised, just as other police personnel are. Each department visited had instituted procedures to permit supervisors to know what their investigators were doing each day and believed they had become more effective without adversely affecting morale and productivity. A key part of all such procedures is eliminating the detectives' proprietary rights over case files. This has been done by allowing the supervisor continual access to the file, by requiring files to be kept in a specified form so that any investigator could be assigned to the case, and even by eliminating all personal files of any kind. In one unit, detectives work at a common table, rather than at individual desks, so they will not have desk drawers for storing information that should be available to the whole unit.

Supervision of investigators working in decentralized situations, particularly in neighborhood teams, has a unique feature to be considered. Usually, investigators assigned to teams are supervised or commanded by patrol officials. Where there is a spirit of cooperation, as in the Rochester police teams, the investigators appear to have no objection to such a situation. However, there is some evidence that patrol officials — particularly patrol sergeants in team situations — need additional training in supervision of investigations. Some departments have used senior investigative personnel to help patrol supervisors, either by having a detective sergeant assigned to a team's command staff or by having a central investigative unit periodically review cases and make suggestions.

d. *Activities not related to specific cases.* Most departments perform a significant amount of investigative activity not directly related to particular cases, apparently with satisfactory results. Such activities include:

- Establishing special units to check pawn shops, keep track of major offenders, or conduct lineups;
- Performing crime pattern analysis;
- Establishing special telephone procedures for the use of informants; and
- Conducting mock fencing activities.

Some departments occasionally use detectives to patrol high crime areas, but this appears to be an inefficient use of resources.

Two departments routinely ask witnesses what they know about any criminal activity, whether or not it is connected with the case being investigated. Although there are no statistics on how useful such information has been, one department said it had helped solve at least a few cases. Another department points out that asking about knowledge of other crimes can avoid unexpected disclosures during the cross-examination of witnesses. It would seem to be a potentially useful procedure that costs little and could be adopted by any department.

D. Investigative Management Systems in Selected Police Departments

As already noted, the principal method of collecting information for this report consisted of field visits to six police departments. The panelists helped to select the sites, based on their experience and knowledge of innovative approaches used in managing criminal investigations.

In each city visited, the object was to describe principal features of the system for managing criminal investigations, particularly features of interest to other departments. To assure thoroughness in data collection, each researcher was supplied with a survey form[3] as a guide for asking questions. Those interviewed included chiefs of police, chiefs of detectives, supervisors of detective units (or of police teams containing detectives), prosecutors and other relevant people. After the analysis of each field visit was completed, it was edited and returned to the city for corrections to assure accuracy. Each report has been revised to incorporate corrections.

The six departments were in cities ranging from 120,000 to several milion people, including both urban and surburban areas. Each used some innovative features as well as traditional procedures for managing criminal investigations.

Fremont, California, is a small but rapidly growing San Francisco suburb with a moderately high crime rate. Patrol officers are responsible for

[3] The form was reviewed by the panel and was slightly revised after field testing in the Washington, D.C. department.

criminal investigations; the small investigation unit primarily provides services to field officers. Fremont was a pioneer in developing a systematic early case closure system.

Cincinnati, Ohio, is a major city which has been conducting systematic experimentation to evaluate operational methods. One ongoing controlled experiment compares neighborhood team policing, partial decentralization of detectives, and the fully centralized mode of administering investigations. A notable feature of the department's management approach is the use of all-rank task forces in planning and program development.

The *DeKalb County, Georgia,* police department is responsible for a large surburban area adjacent to Atlanta. Under its management philosophy, squad sergeants are responsible for most operational decisions. A two-person research and analysis unit on the chief's staff has worked closely with the Criminal Investigations Division to develop and test improved investigative procedures. The department has recently instituted an early case closing procedure for burglary cases.

In *Rochester, New York,* a moderate size city, the department has experimented with alternate methods of operation, including team policing, and has welcomed the assistance of outside evaluators. The Rochester department has implemented a number of programs to examine and improve its operations. They include using detectives to ride along in patrol cars and observe the conduct of preliminary investigations, development of a preliminary investigations manual, and development and field testing of new reporting forms. Recently, a series of discussions was started with the prosecutor's office to develop better methods of interacting.

The *District of Columbia* is a major city with an exceptionally large police department. It operates a multi-layered organization of investigative activity — centralized units which specialize by type of crime, several decentralized units, and investigation by patrol officers. The department features an active Office of General Counsel and a unique system of feedback from the prosecutor.

The *New York City* police department, with over 30,000 personnel, has experimented with practically every conceivable innovation at one time or another. This report concentrates on the following programs in use in the Borough of Manhattan: early case closure, performance evaluation manual, appearance control unit (for scheduling witnesses' court appearances), precinct investigation units, career paths, special training, and undercover fencing operations.

Characteristics of the departments studied are summarized in Table 1.

TABLE 1
BASIC STATISTICS ABOUT THE DEPARTMENTS STUDIED[a]

Characteristics	Fremont, California	Cincinnati, Ohio	Dekalb County, Georgia	Rochester, New York	Washington, D. C.
CURRENT POPULATION (1970 Census)	123,325[b]	452,524	466,000[c]	296,233	756,510
AREA (square miles)	99	78	269[c]	37	61
TOTAL NUMBER OF SWORN PERSONNEL	116	1,480	318	641	4,895
Sworn personnel per 10,000 residents	9	33	7	22	65
Uniform Crime Offenses[d] per 10,000 residents	632	648	315	750	648
Uniform Crime Offenses per officer	67	20	46	35	10

[a] Data on the personnel assignments of the Manhattan Borough Command were not available. Manhattan has 1.5 million people and an area of 22.7 miles.

[b] The population for Fremont, California is the city's estimate for 1973. According to the census, the 1970 population was 100,875. This indicates an annual growth rate of 6.9 percent, almost all of which appears from city estimates to have occured by December 1972.

[c] The area in square miles for DeKalb County, Georgia excludes parts of the county that are under the jurisdiction of other police departments. Population is the 1973 estimate.

[d] Uniform Crime Offenses include homicide, rape, robbery, aggravated assault, burglary, larceny (regardless of amount), and auto theft.

TABLE 1 — CONTINUED
BASIC STATISTICS ABOUT THE DEPARTMENTS STUDIED[a]

Characteristics	Fremont, California	Cincinnati, Ohio	Dekalb County, Georgia	Rochester, New York	Washington, D. C.
NUMBER OF DETECTIVES	9[e]	248[f]	59	144[g]	485[h]
Detectives per 10,000 residents	1	6	1	5	6
Percent of total sworn personnel	8	22	16	22	10
NUMBER OF DETECTIVES AND SUPERVISORS ASSIGNED TO CENTRALIZED INVESTIGATIVE UNITS	9	102	59	117	213
Percent with supervisory rank (sergeant or above)	44	17	19	27[i]	23
Percent of detectives and supervisors assigned to centralized investigative units	100	41	100	81	44
Percent of sworn personnel assigned to centralized investigative units	8	9	16	11	4
NUMBER OF CIVILIAN EMPLOYEES	69	356	89	119	735
Percent of total employees	37	19	22	16	13

[e] Includes detective specialists, uniformed personnel, and their supervisors assigned to the Investigation Section. Excludes Youth Unit personnel. SOURCE: Fremont Police Department Monthly Crime and Activity Report, December 1973.

[f] Includes specialists, uniformed personnel, and their supervisors assigned to the Investigative Services Bureau. Also includes a similar number of uniformed personnel and supervisors for support and supervision of specialist-investigators assigned to police districts. SOURCE: *Records Section of the Cincinnati Police Division, 1973 Annual Report of the Division of Police: Police Statistics of Cincinnati.*

[g] Includes detective grades A, B and C, uniformed personnel assigned to centralized investigative units and supervisors assigned to centralized units. Also includes a similar percentage of uniformed personnel and supervisors for support and supervision of detectives assigned to police districts. SOURCE: *Operating Budget for Rochester, New York* (1974-75).

[h] Includes all "plainclothes" personnel not assigned to inspectional services or other central non-investigative units. Also includes an estimate of the number of supervisors of plainclothes personnel assigned to districts. SOURCE: Metropolitan Police Department, Washington, D. C., *Annual Report*, Fiscal Year 1973.

[i] Fifty-nine percent of the supervisory employees are Detective-Grade A, a rank with pay that is 7.5 percent higher than sergeants.

E. Organization of the Report

Chapters II through IV of this report present the major management issues examined and various techniques to resolve them. The principles and practices of managing to achieve results are discussed in Chapter II, strategic issues in Chapter III, and tactical issues in Chapter IV.

Analyses of the investigative systems of the six cities are presented in Chapters V through X.

The Appendices present a sample of "instructions to Prospective Lineup Witnesses" used in the District of Columbia, a personnel evaluation guide developed in New York, a summary of methods which can be useful for measuring investigative accomplishments, and some material on management by objectives.

CHAPTER II. MANAGING TO ACHIEVE RESULTS

The police departments that had improved their investigative success through management actions were distinguished not so much by specific steps — which differed widely from one department to another — but by the overall tone of their management approach, what one might call their management philosophy. This chapter describes the difference between a philosophy of managing to achieve results and the more traditional police management philosophy and discusses some operational implications of the difference.

A. Two Management Philosophies

The traditional philosophy of managing police activities may be called: "seeing that certain tasks are performed properly." This attitude assumes that the police already know what to do and, to a great extent, the best ways to go about it. The role of the manager, then, is simply to solve problems which prevent performance of the tasks. For example, if the manager finds that he does not have enough evidence technicians to collect latent prints at all burglary scenes, he tries to get more technicians or sees that patrol officers are trained to lift prints. But the manager is unlikely to question, for instance, whether collecting prints for all burglaries is worthwhile. The task — to collect prints — is *given*; the manager sees that prints are collected.

Under this approach, the manager has only one recourse if the results achieved are not satisfactory (if, for example, more and more burglaries remain unsolved): do more of the same. He may strive for greater efficiency or seek additional resources, but he remains bound by the traditional operating methods.

The philosophy of managing to achieve results, by contrast, starts with defining the desired results. It assumes that no one knows for sure what will work; even previously successful methods may not be best now. The manager's responsibility never stops. He carefully observes how well results are being achieved, modifies tasks to improve performance, and again observes the results.

B. Prerequisites for Managing to Achieve Results

There are several operational implications of the philosophy of managing to achieve objectives:

- The manager's objectives must be stated unambiguously, so that one can tell whether they are being achieved.
- There must be dependable means of measuring results achieved, and those means must be regularly used.
- The department must be willing to change tasks and methods to improve results.
- The department needs systematic procedures for changing task definitions so that adequate evidence is obtained about what works well and what doesn't.

C. Setting Practical Objectives

For an objective to be a practical guide for action, it is necessary that:

- The personnel responsible for achieving the objective accept it as reasonable and desirable; and
- Everyone who must take action has a fairly clear idea of what steps he can take to bring about the desired results.

Thus, essential elements of this management approach are reaching agreement on objectives and obtaining broad participation in the management process.

1. *Agreement on goals.* People differ strongly about the relative stress which should be placed on different goals by a police agency. While they agree that police should try to increase personal safety and liberty and protect property, for example, they disagree as to whether people will be freer and safer if the police are more or less aggressive in their anti-crime activities. The following list is presented as a set of generally accepted goals of criminal investigation activities; though different people would place different emphasis on them:

- *Apprehension and incarceration*: apprehend-

ing and incarcerating criminals and preventing them from committing crimes for awhile.

- *Deterrence:* increasing a criminal's risk of apprehension and punishment, deterring people from committing crime, causing them to abandon a personal history of crime, or reducing the seriousness of their criminal activity.
- *Community Relations and Constitutionality:* contributing to the mutual respect of the people and their government by exercising care not to accuse innocent people of criminality and by behaving professionally and courteously, with due regard to the rights and personal needs of suspects, witnesses and the general public.
- *Economy:* achieving results as economically as possible, so that social resources will be available for other public programs and for private purposes (through lower rates of taxation).
- *Prevention:* assisting in increasing the effectiveness of patrol strategies (by uniformed or plainclothes personnel) by providing information that can be used by patrol personnel to anticipate and prevent criminal activity.
- *Public Education and Diversion:* helping society control crime by sharing information gained in the course of police work — concerning patterns of crime, habits of criminals and new methods (including non-police methods) of dealing with criminals by diverting them from the criminal justice system into non-traditional forms of treatment and rehabilitation.
- *Recovery of Stolen Property:* locating and returning stolen property to its rightful owners.[1]

The police department will need to decide which of these goals — or perhaps others — are most important. Note that the goals are not necessarily compatible, and that most require the police to coordinate with other criminal justice agencies (prosecutors, courts, corrections), social service agencies, charitable and educational organizations. Thus, desirable goals may not be very difficult to translate into achievable objectives.

The methods a manager can use to obtain agreement on goals vary with circumstances and personalities; they lie beyond the scope of this report. However, the methods discussed in the following section can be used to translate goals into agreed objectives *within* a department.

2. *Obtaining broad participation.* The National Advisory Commission on Criminal Justice Standards and Goals recommended that:

> Every police agency should provide for maximum input both within and outside the agency in the development of its goals and objectives. It should:
>
> a. create an atmosphere that encourages unrestricted submission of ideas by all employees regardless of rank; and
> b. establish methods to obtain ideas from a variety of organizations and individuals outside the agency.
>
> Every police agency and every unit within the agency should publish and disseminate its goals and objectives to provide uniform direction of employee efforts.[2]

An effective way to obtain broad participation is to establish a task force. This approach has been adopted as a standard planning process tool in Cincinnati. Task forces have been established for such subjects as team policing, the use of women as investigators, rape investigations and shoplifting. All ranks are represented on task forces. This method has led to a free exchange of ideas within the department and has fostered a more analytical approach to planning police operations.

The New York City department has a policy of encouraging officials and officers to participate in the planning process. Regular command meetings are held to discuss proposed orders and, on occasion, comments on new policy are solicited from groups of sergeants or patrol officers.

The DeKalb County, Georgia, department has two full-time analysts in the office of the chief. They comprise the planning unit and conduct research and analysis projects. The unit has the strong support of the chief and appears to be effective in dealing with

[1] A similar set of goals is embodied in the American Bar Association's Project on Standards for Criminal Justice, *Standards Relating to the Urban Police Function* (approved by the House of Delegates of the American Bar Association and the Board of Officers of the International Association of Chiefs of Police, 1973), June 1974, pp. 19-20.

[2] National Advisory Commission on Criminal Justice Standards and Goals, *Police*, 1973, p. 49. See also a Staff Report released by Portland, Oregon's Mayor Neil Godschmidt and Multnomah County Commissioner Donald Clark, in October 1974, in which project director John E. Angell stated "Police administrative activities — e.g., planning, budgeting, training — should be assumed by the government of which the agency is a part. Since these activities involve a policy development and implementation, it is important that they be well integrated within the overall government so that police actions support policies of local governmental officials."

the entire department in a cooperative and non-threatening manner.

D. Measuring Progress and Adjusting Strategies

In industry, the manager's principal measure of success is the profit and loss statement. In public life, there is no such simple measure. Consequently, the manager must determine how success will be measured and assure that the measures are acceptable to both his superiors and subordinates. A number of measurement devices have been used to evaluate innovative police programs, including:

- Police records, such as arrest and clearance statistics, and measures which can be computed from them;
- Observation by persons who accompany police officers during their tours;
- Performance ratings of officers;
- Anonymous interviews of police officers; and
- Surveys of the experiences or opinions of citizens.

Various measurement ideas are discussed in Appendix C.

In addition to wanting to know whether programs are achieving their objectives, managers of large departments may need to know whether programs are being implemented as intended. In large organizations, orders may be misinterpreted as they are communicated through the organization; the net effect of an order may be very different from what was intended. Since people are reluctant to tell top management that things are not working properly, the optimistic view from the top may be very different from the reality at the bottom.

An expert may be needed to help select measurement devices to obtain information desired by the department. A knowledge of statistics is essential in order to advise the department about the *accuracy* and cost of different measurement techniques. For example, one might seek advice on how many arrest reports must be checked against the computerized records to determine that arrests are being accurately recorded (with an error rate, say, of under five percent). A knowledge of *experimental methods* is needed to advise the department whether particular measurements will reflect the programs being examined or whether the data will be so confounded with extraneous occurrences that it will be beyond use. Sometimes the expert in experimental methods can recommend changes in the operational programs so that measurements will be more meaningful. Indeed, some students of the evaluation of government programs strongly urge that it is easier to learn about program results if plans for implementing programs are made simultaneously with plans for evaluating them.

After measurements have been taken and analyzed, they are used to redefine tasks or operating procedures. Departments seem to find that, once they have decided to try new methods to achieve better results, they have no problem thinking of methods to try. The descriptions of particular investigative management systems later in this report contain many promising ideas. National publications like *The Police Chief* and program descriptions distributed through LEAA's "Exemplary Project" program and "Prescriptive Package" program will provide additional ideas.

Many departments tend to try too many changes at once. Moreover, departments often make changes based on preliminary results. If many changes are made at once, or if procedures are changed frequently, it becomes impossible to tell what is responsible for any results achieved. One cannot manage to achieve results unless one can tell what activities cause what results; simply observing results is not enough. Thus, to manage effectively, the new procedures must be followed long enough for the impact of the changes to be observed. Similarly, subsequent changes should normally involve only one or two factors, with everything else done as before. Otherwise, the complex interactions between circumstances and activities within the department will make it impossible to interpret the results.

CHAPTER III. STRATEGIC MANAGEMENT DECISIONS

The police chief and the executive level management of a department must make a variety of decisions on policies affecting the quality of police investigations. These decisions may be classified as either strategic (broad policies with a major expected impact on investigations) or tactical (detailed decisions affecting day-to-day operations). Both are essential to sound operations.

In this section, we will discuss the following strategic decisions:

- allocating resources;
- developing and maintaining an effective relationship with the prosecutor's office;
- developing and maintaining a sound program for dealing with witnesses;
- establishing suitable organizational structures governing the relationship between detectives and patrol officers and the decentralization of responsibility and coordination; and
- developing and maintaining a sound personnel program, including performance incentives, constructive relationships with a police organization or union, participation in management decisions, and the use of civilians.

A. Allocating Resources

The two allocation questions with greatest impact on investigative resources are: (1) How large will the total police budget be? and (2) What fraction of the police budget will be devoted to investigative activity, i.e., how much investigative activity should be performed by patrol personnel, and how many people should be employed in a specialized investigative bureau?

1. *The total police budget.* There is no simple formula for determining the proper levels of police activities in a city. Factors such as political pressures, local tax rates, and unemployment levels affect the total police budget. This section focuses on two often neglected factors which the police manager should consider when preparing budget estimates: the basic cost of providing standard levels of service and the impact that other portions of the criminal justice system have on overall police productivity. Police managers who address these issues can help break through the traditional budgeting approach, which looks only at percentage increases or decreases from the previous year's amounts. This may bring about more effective allocation of city resources.

Cities have brought more rationality into police budgeting by defining desired standard levels of activity, which often leads to an increased police budget. Fremont won an expanded budget by adopting a "60/40 Plan," in which patrol units are committed to spend 60 percent of their "available" time[1] responding to service calls, with the other 40 percent spent on "patrol-related" functions, including investigations. In addition, Fremont conducted a study which showed that an officer spends an average of five hours on each actively investigated case. The combined time demands for patrol time, in investigative time and administrative functions resulted in an expanded budget. (See page 26 for a fuller discussion.)

Cincinnati used a similar approach to justify a Police Foundation grant to support its experimental neighborhood team policing program. It argued that only 35 percent of a patrol officer's total time should be spent responding to service calls. This resulted in a grant to support a larger police budget devoted to patrol officers, some of whose time was allocated to investigative activity.

In New York City, former Commissioner Patrick V. Murphy took seriously the traditional assertion that prosecution, courts and corrections are the weak sisters of the criminal justice system. In meetings of the local planning agency, he successfully advocated additional programs for these other

[1]Available time was defined to exclude days off, vacation, sick leave, specialized training and review, on-duty court appearances, compensatory time off, miscellaneous leave (military, emergency, leave of absence, etc.), basic training or injury on duty. In addition, 150 minutes (two and one-half hours) of every eight hour tour are considered to be unavailable because they are spent on roll call (30 minutes), two coffee breaks (30 minutes total), work preparation at the start of the shift (15 minutes), obtaining beat information and exchanging vehicles (15 minutes), vehicle servicing and fuel (15 minutes), and personal hygiene (15 minutes).

portions of the criminal justice system, even though the police obtained a reduced share of a grant from LEAA.

2. *The investigative share.*

a. *Percentage formulas.* In *Police Administration*,[2] Orlando W. Wilson states that there have been no scientific studies to determine the optimum detective caseload. He notes that the caseload is affected by whether detectives work in pairs or singly, by the extent and quality of patrol participation in crime investigations and by the number of detectives assigned to evening duty. Wilson then gives the opinion that:

> The number of detectives devoting their time to crime investigations (not including cases assigned to the vice and youth divisions) should be about 10 percent of the total sworn personnel of the force . . . . *The assignment of 12 percent of the total force to the detective division is excessive* (emphasis supplied).[3]

Of the departments investigated for this study, the percentage of detectives was lowest in Fremont, which accomplished most of its investigations with patrol personnel and gives only 8 percent of its personnel full-time investigative assignments. Both Cincinnati and Rochester devote 22 percent of their police personnel to investigative assignments.[4]

In general, there is no firm position on the proper portion of the budget to be spent on investigations. Too many value judgments are involved, e.g., what is the importance of answering service calls compared to preventive patrol activities?[5] What is the comparative importance of crime-prevention activities, foot patrol or programs to divert criminals into non-criminal justice programs?

A systematic approach to budgeting would be to list each objective of the department, to determine the cost of activities directed toward each objective and to describe the level of performance attained. A table showing each program's results can give a quick visual comparison of their effectiveness. A sample table is presented in Table 2.

The workload per investigator in a unit provides an implicit indication of the department's judgment about all of the following issues:

- the relative importance of that unit's cases compared to those of other units;
- the relative importance of investigative work, in general, compared to other functions (a judgment reflected in the division of personnel between investigative work and other functions);

[2]O. W. Wilson, *Police Administration*, Second Edition, McGraw-Hill Book Company, New York, 1963.

[3]*Ibid.*, p. 293.

[4]For a thorough study of investigative caseload, see *Interim Report on Workload Analysis* (1973) by Lt. John A. Culley, NYPD; issued by Louis C. Cottel, Chief of Detectives, NYPD.

[5]See George L. Kelling *et al.*, *The Kansas City Preventive Patrol Experiment: A Summary Report*, Police Foundation, Washington, D. C., 1974.

TABLE 2
A SAMPLE FORMAT FOR SIMPLIFYING THE COMPARISON OF OUTPUTS OF POLICE PROGRAMS (OR POLICE UNITS)

	PROGRAMS				
COSTS AND BENEFITS[a]	PREVENTIVE PATROL	INVESTIGATIONS AND PROSECUTION	ACCIDENT PREVENTION	EMERGENCY SERVICES	OTHER PROGRAMS
COSTS					
Dollar costs of the program					
Police deaths or injuries					
Civilian deaths or injuries					
Miscellaneous problems					
— Civilian complaints					
— Law suits filed					
— Corruption hazards					

[a]Include only *known* costs and benefits. It is realized that many of the benefits of policing can not be directly measured. For example, no one knows how to measure the number of crimes deterred by police presence.

TABLE 2: A SAMPLE FORMAT FOR SIMPLIFYING THE COMPARISION OF OUTPUTS OF POLICE PROGRAMS (OR POLICE UNITS) (continued)

COSTS AND BENEFITS	PROGRAMS				
	PREVENTIVE PATROL	INVESTIGATIONS AND PROSECUTION	ACCIDENT PREVENTION	EMERGENCY SERVICES	OTHER PROGRAMS
BENEFITS					
Lives saved					
Physical injuries saved					
Property saved or recovered ($)					
Arrests (by crime type)[b]					
— Total number					
— Number resulting in prosecutions					
— Percent resulting in prosecutions					
— Number of convictions					
Quality of arrest					
— Index (Total Score)[c]					
Moving Traffic Violations					
Referrals to other agencies					
Parking tickets					
Violations					
People conveyed to hospitals					
— Service calls (other)					
Miscellaneous Advantages					
— Citizen commendations					
— Favorable press coverage					

[b] Arrest credits should be divided among the officers who generate the information for an arrest and those who make an arrest, with the appropriate division depending on the extent of an officer's contribution considering all the circumstances of the case.

[c] An index will establish relative values for the importance of such things as parking tickets, misdemeanor arrests, felony arrests, moving traffic violations, the necessary use of force (a plus value), the avoidance of force in a tough situation (a plus value), the use of excessive or unnecessary force (a minus value), the making of "discretionary" arrests that might not have been made, referrals to other agencies, etc. For a sample of such an index, see Peter B. Bloch and David Specht, *Neighborhood Team Policing*, Government Printing Office, (2700-00240), 1974, p. 97.

- the extent to which other personnel in the department are expected to contribute to the solution of the assigned cases or to the apprehension and prosecution of suspects;
- the extent to which each assigned case is sufficiently promising to require substantial investigative activity;
- the thoroughness of investigative activity — including preparation of cases for court — expected from the unit; and
- the availability of special peak-load programs, such as assigning important cases to special units.

The available research suggests that no one resolution of these issues is suitable for all departments.

b. *One or two-officer investigative units.* One budgetary concern pointed out by O. W. Wilson[6] has such a striking impact on potential productivity that it deserves stress here, although it might appear to be a simple question of tactics. This is whether detectives work singly or in pairs.

Although there are situations which require a detective to be accompanied by another officer (e.g., particularly dangerous assignments, interrogation of key witnesses, meeting suspicious informers), for most tasks the use of two detectives appears to be sheer waste. This point was made forcefully by Samuel G. Chapman and Donald F. Clark in the *International Criminal Police Review:*

> Counter-productively, many detective commanders lament their lack of manpower but still send two-man teams to conduct routine investigations. Police consultants

[6] O. W. Wilson, *op cit.*, p. 291.

across America still find that often two investigators will go, for example, to a credit bureau to secure information on a suspect; take an original report of the theft of a potted plant; go to an adjoining police headquarters to check that force's records; or interview a witness jointly. Such activity not only does not require two detectives; it may not require even one!

Many such routine tasks could be performed very well by fully trained, thoroughly indoctrinated police aides, and many of these tasks could be done by telephone. Investigations, like most activities, will be best pursued if one prepares a plan which offers direction with flexibility.[7]

B. Relationship With the Prosecutor

The police and the prosecutor have many reasons to coordinate their efforts. The prosecutor's caseload is determined primarily by the apprehension policies of the police. On the other hand, the policies of the prosecutor's office concerning prosecution and plea bargaining are likely to affect the ability of the police to prevent crime by prosecuting and imprisoning criminals.

There also is a shared responsibility to prepare and present cases. The police generally collect evidence and assemble witnesses, while the prosecutor acts on the basis of the evidence and may need to present the case in court. The prosecutor can help officers and investigators improve their case preparation; the department, in turn, may have important suggstions concerning the practices of the individual prosecutors. Futhermore, whenever a new policy with potential impact on the other agency is being considered, it should be discussed in advance. Whenever existing policy begins to have an undesirable impact, it also can be discussed in a cooperative relationship.

1. *Handling cases.* Prosecutors and police probably assist one another best if there is an atmosphere of mutual trust, respect and professional involvement. Among the cities cited, this kind of informal cooperation seems to be at its height in Fremont. There, the patrol officers who apprehend suspects are responsible for most of the investigations. They generally are young, well educated and highly motivated. The prosecutors advise them about the strengths and weaknesses of their cases. What works in Fremont, however, may be harder to achieve in a larger, more formal urban setting.

In Washington, D. C., the police and prosecutor adhere to the following standard, which was set by the National Advisory Commission on Crimi Justice Standards and Goals:

> Every police agency should review administratively all major criminal cases in which prosecuting agencies decline to prosecute or later cause to be dismissed.
>
> That review:
>
> (a) should result in a referral of each such case to the concerned officer's commanding officer for administrative action to correct any police deficiencies which may have weakened the case; or
>
> (b) should result in referral of each case to the prosecuting agency for that agency's action to correct any deficiencies for which it may have been responsible.[8]

The relationship is a mutual one. The prosecu completes a police form whenever a case dismissed for a "police reason." That form referred to the officer's commander, who n counsel him on the alleged deficiency. When police find a problem in the operation of prosecutor's office, that is handled on an info basis by discussions between the departm Court Liaison Section and the office of prosecutor.

In DeKalb County, there is little intera between the police department and the di attorney's office. Usually, the prosecutors first of a case when a suspect is arrested. The poli not involved in plea bargaining. Occasionall police will be asked to conduct further inve tions. All police case records are transmitted prosecutor's office by the central records unit

At present, none of the studied departmen met all the requirements of the following stanc

> Every police agency should encoura courts and prosecuting agencies routinely evaluate investigations, case preparatic and courtroom demeanor and testimony police officers and to inform the poli agency of those evaluations.[9]

The Rochester Police Department attem meet this standard by meeting with the prosecu develop a regular flow of information about p mance in individual cases and about the policie procedures of the two agencies. In the early sta this arrangement, new agreements are being w

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[7]Samuel G. Chapman and Donald E. Clark, "The Invest Priority Index Concept," 261 *International Criminal Review* 226, October 1972.

[8]National Advisory Commission on Criminal Justice Sta and Goals, *Police*, 1973, p. 86.

[9]Idem.

out whereby only one officer need appear before a grand jury. Police can inquire about individual cases that are not prosecuted. Also, police have begun a new policy of preparing multiple cases against multiple offenders.

2. *Evaluating police units with the prosecutor's help.* Information from the prosecutor can help police managers spot trouble within their organization and evaluate the relative effectiveness of different units. If statistics are kept on the relative prosecutive success of comparable police units[10] the department can identify units needing additional training. It also can spot supervisors who seem particularly adept at motivating their units to perform well in court. Furthermore, in departments with a corruption problem, changes in prosecution success for sensitive crimes — such as gambling and morals offenses — may indicate the need for further inquiry into the practices of a particular unit.

Using statistics on prosecutions to identify effective supervisors may improve overall department performance. It helps the department select, for advancement or for particularly important assignments, people with demonstrated ability. It also enables the department to identify effective supervisory practices and to spread such practices to other units.

3. *Handling physical evidence.* The handling of physical evidence can have an important impact on community relations and on witness cooperation. What the law considers as "evidence," the complainant thinks of as his property, so unnecessary detention of property should be avoided.

The problem of handling evidence is rooted in the "best evidence rule," which requires an object, instead of a picture, to be produced in court, if at all feasible. Yet, some types of evidence will never be used in court — stolen cars are too bulky and perishable property would not be recognizable, even if it were saved. If a theft involves many items, only a small portion will be needed to prove that a grand larceny has occurred. Thus, the public interest is served when such property is restored to its owners.

Where evidence is returned, careful photographic records should be taken, with equipment used, photographer's name, lighting, aperture, etc., carefully recorded so that the admissability in court of the photographs will not be called into serious question.

In the interest of better service to the community, police departments should try to persuade prosecutors, judges and, if necessary, state legislatures, to allow physical evidence to be returned to the owner as quickly as possible. With adequate procedural safeguards — including the right of counsel for the defendant to be invited to the photographing of the evidence — it is possible to return most property to its owners before trial. A desirable by-product of this procedure is reducing the cost of storing large numbers of items in the police property room.

C. Relationship to Witnesses

1. *Concern for witnesses.* Although witnesses are the key to most successful prosecutions, many departments have failed to consider the effects of the investigative process on witnesses.

The principal ways in which the investigative process may adversely affect a witness are:

- unnecessary inconvenience;
- unnecessary repetition of the witness' testimony to different investigators;
- failure to keep the witness informed of the progress of his case — for the purpose of keeping him interested and concerned;
- failure to inform the witness of the outcome of the case, thank him for his cooperation and encourage him and others to cooperate in the future; and
- failure to compensate the witness for the cost to him of cooperating with the police and prosecutor.

The National Advisory Commission on Criminal Justice Standards and Goals recognized the witness' needs in its *Courts* volume:

> Prosecution and defense witnesses should be called only when their appearances are of value to the court. No more witnesses should be called than necessary.
>
> *Witnesses Other Than Police Officers.* Steps that should be taken to minimize the burden of testifying imposed upon witnesses other than police officers should include the following:
>
> a. Prosecutors and defense counsel should carefully review formal requirements of law and practical necessity and require the attendance only of those witnesses whose testimony is required by law or would be of value in resolving issues to be litigated.
>
> b. Procedures should be instituted to place certain witnesses on telephone alert. To insure that such a procedure will be capable of producing witnesses on short notice on the

[10]This is best done by comparing only units with similar caseloads, or comparing separate statistics for cases that are similar in their probability of solution.

court date, citizen witnesses should be required as early as possible to identify whether and how they may be contacted by telephone on court business days and whether, if so contacted, they can appear at court within 2 hours of such notification. Witnesses who appear likely to respond to telephone notification should be identified by both the prosecution and the defense and placed on telephone alert. On the morning of each court date, the prosecutor and defense counsel should determine the status of cases on which witnesses are on alert and should notify promptly those witnesses whose presence will be required later in the day. Witnesses who unreasonably delay their arrival in court after such notification should not be placed on telephone alert for subsequent appearances.

c. Upon the initiation of criminal proceedings or as soon thereafter as possible, the prosecutor and defense counsel should ask their witnesses which future dates would be particularly inconvenient for their appearance at court. The scheduling authority should be apprised of these dates and should, insofar as possible, avoid scheduling court appearances requiring the witnesses' attendance on those dates.[11]

The procedures recommended in the standards are in effect in New York City, which has an Appearance Control Unit funded by the police department. That unit, originally set up by the Vera Institute, determines convenient dates for witnesses to appear and puts them on "alert" the day their cases are heard. A full description of this New York City project may be found on page 66 of this report.

2. *Witness Treatment during preliminary investigations.* The manner in which preliminary investigations are handled can cause unnecessary inconvenience to witnesses, who generally prefer to tell their stories as few times as possible. The investigation that is handled from start to finish by one officer — as occurs in Fremont — is least inconvenient for the witness. If, as in New York, the first officer on the scene prepares a report *which is immediately available to the follow-up investigator,* the citizen is likely to feel less frustration than if the first officer does a sloppy report or the follow-up officer begins asking questions without seeing that report.

An additional precaution which investigators should take for the protection of witnesses is the separation of the witness from the suspect. When this simple step is overlooked, the witness may be less cooperative and he may even be inclined to hide his identity from the suspect by falsifying his name or address.

3. *Witness fees.* Because many witnesses have to make substantial economic sacrifices, the size of the witness fee, which is generally set by the courts, may seriously affect the ability of police to obtain cooperation. The highest payment made to witnesses among the jurisdictions studied was $20 per day in court. No jurisdiction studied had a formal procedure for compensating witnesses who spent large blocks of time working with the police in the course of an investigation.

It is recommended that witnesses be compensated for their actual out-of-pocket financial losses. Employers could be compensated for their losses, perhaps with a deductible, such as two days pay per employee. There is no reason for a person to suffer *any* economic loss for cooperating with the police. At the very least, jurisdictions should conform to the following standard:

> Citizen witnesses in criminal proceedings should receive compensation for court appearances at a minimum rate of twice the prevailing Federal minimum wage for each hour the witnesses spend in court. An officer of the court should certify the time spent by the witness in court between arrival and dismissal; payment should be made accordingly.
>
> Witnesses should be paid for roundtrip travel between the court and their residence or business address, whichever is shorter, at the Federal Government mileage rate for each mile traveled to and from court.[12]

D. Establishing a General Counsel's Office

Of the police departments studied, only Washington, D. C., had a General Counsel. (New York City has a Special Counsel to the Police Commissioner and a Deputy Comissioner for Legal Matters, but their offices were not included in the study, which limited itself to Manhattan's investigative system. DeKalb County has a legal advisor, whose duties are much more limited than those of the District of Columbia's General Counsel.)

In Washington, the General Counsel reviews cases to identify areas where performance can be improved. He also designs training materials, drafts

[11] National Advisory Commission on Criminal Justice Standards and Goals, *Courts*, 1973, p. 208.

[12] *Ibid.*, p. 213.

proposed legislation, reviews internal procedures, serves on the department's review board in cases involving the use of a weapon by an officer, provides routine advice to field commanders, and defends the department in legal proceedings.

The Office of General Counsel is not part of the police tradition, so it may be difficult to put aside budgetary funds for this purpose. Nevertheless, legal skills can be of great importance to many aspects of a department's operation. Careful consideration should be given to the advantages which the District of Columbia appears to be receiving from this arrangement. (See page 56 for a complete discussion.)

E. Relationship Between Detectives and Patrol

The relationship between detectives (or investigative specialists) and patrol officers is a point of potential friction. As O. W. Wilson has stated:

> The communication of information between patrol officers and investigators is a vital factor in the success of criminal investigations. Investigators should make every effort to foster the cooperation and enthusiasm of patrol officers through frequent personal contacts, by making certain that beat officers receive acknowledgement in reports and press releases, and by fostering preliminary investigations by patrolmen. One of the fastest ways to stop the cooperation between patrol officers and investigators is to have the latter rework the preliminary investigation as if the patrol officer were not to be trusted.[13]

1. *Status Differentiation.* One source of friction is the envy of patrol officers for the status and increased pay of detectives.

In Fremont, there is no organizational distinction between patrol and detective units. With the Operations Division, there is an investigative section. Officers assigned to that section receive no pay differential or higher rank, and after two years they return to patrol work. As patrol officers, they still are considered capable of handling investigations, and they do handle all but the most time-consuming investigations by themselves.

In DeKalb County, where all patrol and detective operations are centralized, there also is no pay differential for detectives. They do, however, receive a clothing allowance, usually have cars assigned to them, and can wear their hair longer.

In many departments, the route to career advancement is through the detective bureau. However, this single route to advancement — as entrenched as it is — has some disruptive effects on intra-departmental relations. At least some thought should be given to increasing the career status of patrol work by providing pay raises for developing special capabilities related to patrol work. In Cincinnati, this has been done by creating the rank of "specialist." A specialist may be a patrol officer who does investigative work or who may do no investigative work at all. This is consistent with the position of the National Advisory Commission on Criminal Justice Standards and Goals, *Police*, which states:

> Every police agency should provide career paths that allow sworn personnel to progress not only as managers but as generalists and specialists as well. Non-managerial career paths should provide the incentive and technical expertise to remain within the functions they choose while continuing to provide efficient delivery of police service.[14]

It also should be noted that the National Advisory Commission recommended a single basic rank level for patrol officer-investigator.

2. *Decentralization.* To foster a closer relationship between patrol and detective work, some departments assign a substantial portion of their investigators to work in the same units as patrol officers. Following the introduction of this arrangement in Rochester, there has been a remarkable improvement in the number of robbery, burglary and larceny arrests made.[15] A neighborhood police team is under the command of a patrol lieutenant, who relies to some extent on a detective sergeant to assist in the supervision of the team's detectives. The close working relationship between detectives and patrol officers has made this program popular among its participants, and Rochester is planning to expand its three-team program to the entire department. A forthcoming report will describe in detail how this working relationship has affected investigative productivity.[16]

Between March 1973 and January 1974, the Cincinnati Police Division conducted an experiment to see which is best — a centralized, partially decentralized or fully decentralized method of conducting investigations. It was found that the fully

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[13] O. W. Wilson, *op cit.*

[14] See page 362, National Advisory Commission on Criminal Justice Standards and Goals, *Police*.

[15] Peter P. Bloch and Cyrus Ulberg, *Auditing Clearance Rates*, Police Foundation, December 1974.

[16] A report on an evaluation of investigative effectiveness in Rochester, prepared by Peter B. Bloch and James B. Bell, is expected to be published by the Police Foundation in 1975.

decentralized method had the best overall effectiveness, and a higher overall clearance rate. The partially decentralized method had the most impact on investigative effectiveness, clearing 8.2 percent of the cases not cleared on the first day.

Decentralization to small team units introduces new problems, and therefore should not be undertaken without substantial advance planning.[17] The spirit of competition which teams often develop must be balanced against the need to share information for the overall good of the department. To create incentives for sharing information, coordinating mechanisms are needed *to keep track of the frequency with which information developed by one team contributes to arrests made by other teams.*

In forming teams, officers and investigators must be informed about the purposes of the program and should participate in its initial shaping. As previously mentioned, city and department characteristics also will affect team program implementation decisions.[18]

F. Personnel Policies

Personnel policies have an overriding impact on the effectiveness of the police department. Since this report considers only a portion of the police effort — investigations — a thorough discussion of these issues is not possible here. Instead, we will touch briefly on some personnel issues which can mean the difference between success or failure of efforts to manage police investigations.

1. *Incentives to perform.* It is commonly suggested that police officers and investigators will perform better if they have better incentives to perform. A variety of incentives may work, including simple supervisory recognition, relief from unpleasant duties, special assignments and pay incentives.

For any of these incentives to advance the department's objectives, the incentives must accurately reward desirable performance. One form of adverse performance — known as "humming" in many departments — is for an officer to find an easy way to meet quota without achieving the desired objectives.

Among the cities studied, Fremont appears to have the most effective employee performance evaluation system. It is an ongoing procedure from police academy to retirement. In Washington, D. C., all employees have quarterly performance evaluation conferences with their supervisors. In addition to routine evaluations of detectives, a special evaluation is conducted when there are openings for "detective, grade one." These promotion evaluations are particularly thorough. (See page 60 for a fuller discussion.)

In New York City, the official rating form for patrol officers and detectives is fairly rudimentary, requiring primarily an overall judgment on whether performance has been satisfactory or falls into one of three unsatisfactory categories. There is a comprehensive guide to help raters review the effectiveness of patrol officers or detectives. (See page 66 for further information.)

In some departments, arrest activity is considered separately from the remainder of the overall employee evaluation. Moreover, arrest activity often includes only arrests physically made by the employee. New York City's guide to evaluation treats arrests as just one other category of performance and applies *qualitative* ratings (from "well above standards" to "well below standards"). This permits the supervisor to consider the overall workload of that individual — compared to others — and to give a rating based on that officer's opportunity to make arrests. Separate ratings also address the questions of promptness and thoroughness and of the ability to organize one's work.

In DeKalb County, investigators are evaluated by the unit squad sergeant. Individual clearance rates are not used as performance measures. It is felt that the detectives are more highly motivated and cooperate better with each other when they are not measured by individual clearances.

One problem with almost all performance rating systems is that they rate all officers on the same scales. Thus, a supervisor has difficulty recognizing the unique contribution of each officer. For example, one officer may have worked conscientiously on two major investigations, producing breakthroughs that led to the development of two major cases. Another officer may have developed a crime pattern analysis which appears to have enabled patrol units to control burglaries in an entire section of the city. Another may have made 40 arrests for robbery,

[17]See Peter B. Bloch and David Specht, *Neighborhood Team Policing*, Government Printing Office (2700-00240), for a discussion of planning problems related to the creation of decentralized policing systems.

[18]In Rochester, there are approximately six detectives assigned to each team of about 45 patrol officers, commanded by a lieutenant and three sergeants. In Cincinnati, there is wide variability in the size of teams. Generally, a team will need at least four detectives to achieve around-the-clock coverage, but an even smaller number may be assigned if the department uses non-team personnel to process midnight-shift prisoners. In both cities, the teams have the highest success rate in solving cases.

resulting in 15 convictions.

One way to account for these differences in a rating system is to assign a numerical weight to each factor which reflects the specific tasks of that officer. For example, the total numerical weights for each officer might be required to add to 100, but one officer might have half of his entire rating (50 of his 100 points) assigned to his effectiveness in crime prevention, while another might have half his rating assigned to his ability to utilize informants in solving cases.[19]

Ratings for police officer performance should take into account:

- the importance of cases solved;
- the importance of the officer's contribution;
- the *legality* of arrests made (in the supervisor's opinion);
- the *necessity* or wisdom of arrests (could it have been handled better by referring it to another agency or by overlooking it?);
- the *dangerousness* of the offenders involved (a factor which may increase the credit given to the arresting officer if he succeeded in making the arrest without using unnecessary force);
- the *quality* of arrests (in the opinion of the supervisor, who should consider the opinion of the prosecutor who handled the case); and
- the *quality of preparation* of cases for court (judged in part by whether a conviction was obtained).[20]

2. *Incentive pay for department performance.* One particular performance incentive plan which has received national attention deserves special comment. In Orange, California, in 1973 the police department and its union agreed on a unique collective bargaining contract which would increase the pay of all officers in the department if certain reductions in reported rapes, robberies, burglaries and auto thefts were achieved. A two percent wage increase would be given to all officers if the reported level of these crimes (excluding crimes for which a suspect was apprehended at the scene) fell by at least six percent in the first year of the contract, and an additional three percent increase would be earned if the reduction over the first two years of the contract was at least 12 percent.[21]

Although the results of this incentive plan were far from clear, there was general agreement among those involved in the program that there was:

> increased cooperation in the department between individuals and between organizational units. Employees who previously tended to operate relatively independently are recognizing the importance of their relationship to other employees and are consequently volunteering information and assistance more frequently.[22]

One problem in evaluating the incentive plan is that several special programs were implemented at the same time. One of these was an intensive crime prevention effort, including leaving warning notes on unlocked cars and garages, Operation Identification (in which citizens put a special identifying mark on valuable goods), and talks to citizens by a crime prevention officer.[23] Another program was a perpetrator-oriented patrol, in which officers tailed suspected offenders in an effort to catch them committing a crime. These patrols reportedly made "many in-progress arrests, some in other towns."[24] Two other programs included "comprehensive contact" — in which everyone on the street in an area experiencing recent increases in crime was stopped and questioned — and a Crime Prevention Advisory Committee, in which a group of eleven officers met regularly with the chief to plan more effective approaches.

What was the effect of the Orange Plan on crime? The evaluation report reaches the following favorable but qualified conclusion:

> During the first seven months of the agreement, there was a net reduction in incentive crimes of 10 percent with respect to a year earlier. In the following eight months, the corresponding reduction was 4.8 percent. Although the impact of the incentive program has not been enough to prevent an overall rise in Part I crime in the City of Orange, the rate of increase of such crimes has been considerably less in Orange than in neighboring jurisdictions during the fifteen months since the beginning of Orange's incentive agreement.[25]
>
> It is not clear how much the police can actually prevent crime. External factors may, in many cases, play a major role in

[19]See Peter B. Bloch and David Specht, *Neighborhood Team Policing*, Government Printing Office (2700-00240), 1974, p. 96.

[20]*Ibid.*, p. 97, which presents a possible scoring system — which does not account for all of the factors listed in the text.

[21]John M. Greiner, *Tying City Pay to Performance: Early Reports on Orange, California and Flint, Michigan*, Labor Management Relations Service, Washington, D. C., 1974, p. 6.

[22]*Ibid.*, p. 14.

[23]*Ibid.*, p. 7.

[24]*Ibid.*, p. 8.

[25]*Ibid.*, pp. 11-12.

crime decreases (or increases). Thus, a city (and its employees) using a plan must accept the likelihood that a significant part of the change in crime rates may be beyond the control of government employees.[26]

The authors of this report caution against hasty acceptance of the plan in other jurisdictions. It may create incentives for reporting crime differently, so a careful outside audit or a pre/post victimization survey is required to verify decreases in reported crime.[27] It may focus officers' attention on crime functions to the detriment of service functions. Furthermore, zealousness could lead to unconstitutional or illegal activity on the part of the police. Finally, the empirical results should be interpreted with caution because:

> It is not clear at present whether the apparent success in reducing burglaries achieved in Orange was due to the incentive policy, the programs undertaken in response to the introduction of the incentive plan (e.g., the Special Enforcement Team, the imaginative crime prevention effort, etc.), a mixture of both, or perhaps other external factors.[28]

3. *Participatory management*. Managers should involve employees of different levels in the planning process whenever possible. The purposes of "participatory" management have been stated succinctly by Stephen May, former mayor of Rochester, as follows:

> Participatory management is an effort to engender professional pride, improve labor-management relations and elevate departmental performance. Consultation with union committees on such issues as uniform changes, officer safety, crime control and job enrichment appears to have provided stimulation and challenge for police officers working with top management.[29]

As mentioned in Chapter II, the task force approach used in Cincinnati is a good example of participatory management. Another is found in DeKalb County. There, decisions are made mostly by sergeants, with superior officers acting in a "resource" capacity. The existing chain of command in the department is viewed as a way to facilitate, not constrain, operations.

The problems of participatory management often are not as fully stated as its advantages. They include:

- the risk that decisions will be avoided by task forces because of a tendency of committees to talk rather than act;
- the additional time which group action takes, compared to firm decisions by an individual manager; and
- the risk that a group will act irresponsibly because it is so hard to hold each of its members responsible for its actions.

A point often missed in discussing participatory management is the importance of involving individual officers and investigators in practical, operational decisions. Officers often have a rich store of knowledge about local conditions which can be tapped if neighborhood police teams are used and the supervisor makes a habit of consulting with his team, either individually or in meetings. Involving employees in operational decisions should enrich the team's plan and help to motivate the employee to support the team's objectives.[30] It also should help employees communicate with each other and work together better.

4. *Use of civilians*. In their recent book, *Employing Civilians for Police Work*, Alfred I. Schwartz *et al.*, of The Urban Institute show that police departments have been increasing their use of civilians and that:

> As a whole, police managers and officers were favorably impressed with the use of civilians because they relieved officers for more critical duties, cut costs and improved service to the public.[31]

The most common investigative roles taken by civilians are those of fingerprint technicians and photographers. Police officials interviewed by The Urban Institute team believe civilians have proven their worth in many jobs. However, the hiring of civilians — particularly in departments where civilians are rare — should be undertaken only after their duties are carefully defined.

The study addressed the more prevalent uses of civilians, but one could imagine using trained civilian aides for many duties now performed by sworn

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[26] *Ibid.*, pp. 15-16.

[27] Victimization surveys tend to reveal an actual crime rate higher than the reported crime rate. See "Crime in Eight American Cities," Advance Report, U. S. Department of Justice, LEAA-NCJISS, July 1974.

[28] John M. Greiner, *op cit.*, *Tying City Pay to Performance*, p. 16.

[29] *National Symposium on Police Labor Relations*, p. 24.

[30] See Peter B. Bloch and David Specht, *Neighborhood Team Policing*, Government Printing Office, (2700-00240), 1974, pp. 5-6.

[31] Alfred I. Schwartz et al., *Employing Civilians for Police Work*, The Urban Institute (1974: forthcoming as a publication of the Government Printing Office as part of NILECJ's Prescriptive Package series), p. v.

investigators. For example, they could make appointments for investigators' follow-up interviews. They also could conduct telephone interviews themselves to collect information about cases; in fact, preliminary investigations could begin with questions asked by the clerk receiving telephone calls. In Cincinnati, civilians notify witnesses of court appearances, type statements, handle telephones and serve subpoenas.

5. *Scheduling court appearances.* The morale of officers suffers if they have to wait endless hours at court for cases that are never called. New York City has reduced this wasted time substantially by having police on "alert" status, performing their regular duties while awaiting court appearances. Careful scheduling of cases can also reduce the necessity of giving officers overtime pay. The simple procedure of providing the court with officers' duty schedules can result in substantial financial savings for the city. In Cincinnati, officers file a form stating when they will be available for court appearance.

6. *Police unions.* No single statement will govern all police-union relations. Some union officials and some police managers will act irresponsibly, erecting irrational barriers to progress. These problems of personality and politics may present complex or insolvable bargaining problems. However, this is *not* an intrinsic characteristic of the relationship. The presence of a police union may even make things easier for progressive management because the manager knows whom to deal with and need not contrive his own complex ways of determining employee viewpoints.[32]

An issue which may affect the relationship between bargaining and police productivity is: Who are the bargainers? Clearly, the chief should have a direct role in the process, either by conducting the negotiations himself or by keeping the bargainer fully informed of what is organizationally feasible and acceptable. Tensions may be less if a chief can leave the bargaining table for a professional negotiator hired by the city. The union may also like to avoid direct confrontation over economic issues with a chief with whom it must work daily. On the other hand, the union and the chief must come to terms over productivity issues, so some chiefs and unions may prefer to face each other directly. Hence, it is a delicate matter to decide which issues call for direct negotiation depending, in part, on the personalities involved.[33]

[32] See *Guidelines and Papers from the National Symposium on Police Labor Relations*, (Police Foundation, June 9-12, 1974, Washington, D.C.), particularly pp. 25, 33, 39 and 54-55.

[33] *Ibid.*, pp. 55-56 (from a speech by Edward K. Hamilton).

CHAPTER IV. TACTICAL DECISIONS

In addition to the more global concerns discussed in the previous chapter on "strategies," there are many "tactical" concerns which must be resolved for the smooth operation of a criminal investigations system. An effective investigations system depends both on appropriate strategy and proper tactics.

Activities common to all strategies for which tactics must be developed include:

- assignment of investigative personnel,
- investigating cases,
- managing the flow of cases, and
- supervising investigative personnel.

There are also several support activities not directly related to case work which reflect specific tactical decisions. This chapter identifies a variety of tactics that the visited departments have found useful in carrying out these activities.

A. Assignment of Investigative Personnel

The assignment of personnel involves basically two issues: the extent to which detectives are assigned to specialized tasks and the manner in which they are assigned to individual cases.

1. *Detective Specialization.* Among those departments studied, Fremont, California, where all officers work on investigations, has the least specialized detective operation. New York City, with two full-time detectives working on fine art thefts, is the most specialized.

Several points can be made about the difference between these two cities. Fremont has a smaller department with young, motivated, highly educated personnel. Because its officers are capable of understanding a wide variety of cases, there is less need for specialization. The New York City department is so huge that it can afford a few smaller, more specialized units that other cities cannot. On the average, its personnel are not as highly educated as those in Fremont. They routinely encounter types of crime that are rare in Fremont, so there is a greater need for specialists to handle cases.

An important reason for keeping the number of specialist investigators to a minimum is that there are few criminal specialists. This rationale is supported by one of the most thorough pieces of research ever conducted on crime-related behavior. Marvin E. Wolfgang of University of Pennsylvania studied the criminal activities of *all* males born in 1945 who lived in Philadelphia between their tenth and eighteenth birthday — 9,945 boys. He found that:

> The choice of the type of the next offense is only very slightly related to the type of the prior offense or offenses. This finding leads us to the conclusion that the type of the next offense — be it injury, theft, damage, combination, or nonindex — cannot well be predicted by examination of the prior offense history, at least when that history is represented by our typology. *There is practically no evidence to support a hypothesis of the existence of offense specialization among juvenile delinquents.*[1]

There is no evidence to indicate that adult criminals specialize any more than do juveniles. Although *some* criminals no doubt concentrate on one type of crime the evidence implies that most do not.

Consequently, over-specialization by detectives may lead them to miss links between bits of information known to different specialized units. Some generalists should work close to patrol personnel to piece together local crime problems involving one or more criminals who commit different kinds of crimes. On the other hand, if close communication and cooperation can be achieved, as in DeKalb County, specialization by detectives may work well.

There is also a need for specialists. Each department will have to decide for itself whether their knowledge is better used if specialists act as consultants to patrol and other investigative personnel (the role of specialists in Fremont) or have sole responsibility for a class of cases (as in Washington, D.C.). The departments in this study divide the work differently, and no one method was found to be clearly preferable. Details are given in the individual city reports of Chapters V through X.

[1]Marvin E. Wolfgang, Robert M. Figlio, Thorsten Sellin, *Delinquency in Birth Cohort*, The University of Chicago Press, Chicago, 1972, pp. 244, 254.

2. *Assigning individual investigators to cases.* The most common method of assigning individual investigators to cases is by a rotation system which is based, in part, on the working hours of the detectives and on their existing workload. Such a system appears adequate for most cases. For example, there is usually no need to select certain officers over others to handle a routine burglary. But, if certain investigators are particularly good at dealing with people of different races, sexes, statuses, or personality characteristics (assertive, meek, uncooperative, etc.), or have other special skills, they should be assigned according to these skills. Some departments assign an investigator with a weakness in one area to work with another officer who is particularly good in that area.

A common technique among detective supervisors is to use a few selected individuals for all particularly significant or difficult cases. These people should be selected on merit and important cases distributed among them. Several departments have found it effective to assign a case to a select group of investigators only when the case exceeds other officers' ability or when special talents are needed.

A supervisor must determine the pattern of utilization of his investigators and see that the right personnel are available when needed. However, *need* is *not* only determined by when crimes occur or when officers must appear in court. Many follow-up tasks must be done at a particular time of day (as a neighborhood survey to obtain information relating to a series of *daytime* burglaries is best conducted during the *daytime*, even if the crimes are not reported until people return from work between 5 and 7 p.m.). Normally, officers' schedules can be arranged to meet these needs and to fit the desires of each officer.[2]

One way a supervisor may motivate his officers and improve their effectiveness is to stay abreast of their capabilities and interests. Surveys might be conducted periodically to learn the kinds of cases and investigative activities each prefers. The survey results could be useful to commanders in allocating some cases within a team or determining when to dicusss with the officers the desirability of transferring them to another part of the department or to a specialized unit.

As pointed out earlier, there are strong economic reasons for investigators to do most tasks alone. Even departments which permit investigators to work in pairs have found that, for motivation and accountability reasons, it is better to assign each case to an individual officer or supervisor. In that way, the officer will be responsible for seeing that all work needed for the case is completed efficiently and carefully.

B. Investigating A Case

In a sense, the investigation of a case is the responsibility of the entire department and not just a single investigator. Effective investigation often depends on many people and on the organizational structure that governs what they do. In this regard, coordinated tactics are critical to the processing of cases, including methods of conducting preliminary investigations, the use of official forms, procedures for collecting physical evidence, the use of rewards or "buy" money, the decision to "close" a case, and the decision to make an arrest.

1. *Preliminary Investigation.* The meaning of "PRELIMINARY" as an acronymn is known to most officers who have read a text on investigations. It is commonly said that a preliminary investigation includes:

P Proceed to the scene promptly and safely
R Render assistance to the injured
E Effect the arrest of the criminal
L Locate and identify witnesses
I Interview the complainant and the witnesses
M Maintain the crime scene and protect the evidence
I Interrogate the suspect
N Note conditions, events and remarks
A Arrange for collection of evidence (or collect it)
R Report the incident fully and accurately
Y Yield the responsibility to the follow-up investigator.[3]

While these activities commonly go into a preliminary investigation, the list does not convey a sense of the purpose of the investigation. From the time the officer receives information to proceed to the scene, his *investigative* objectives should be:

- to find out what has happened (be observant even while responding to the scene and departing from the patrol vehicle);
- to locate witnesses (including juveniles) and sources of evidence that will help determine what has happened;

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[2]. See Peter B. Bloch and David Specht, *Neighborhood Team Policing*, Government Printing Office, (2700-00240), 1974, pp. 87-92.

[3]International Association of Chiefs of Police, *Criminal Investigation*, Second Edition, Gaithersburg, Maryland, 1970, p. 13.

- to figure out what further investigative steps should be taken (either by the officer, a technician or another officer or investigator);
- to attempt to understand the motivations of the witnesses and to evaluate the accuracy of their testimony, from the standpoint of knowing whether to act on the testimony and deciding whether some other officer might be successful with the particular witness; and
- to record: *what has been done,*
  what has been learned,
  what is left to be done.

A complete, concise and accurate record of the investigation is an essential tool for supervisors in evaluating the officer's work, deciding if further investigation is needed in that case, apprehending a suspect and preparing for prosecution in court.[4]

In addition to the *investigative* aspects of preliminary investigations, there are essential *service* aspects (helping injured people) and *apprehension* aspects.

Perhaps the most significant management decision concerning preliminary investigations is how to properly limit them. One theory is that the preliminary investigation

> begins when the assigned patrol officer (receives an assignment to proceed to a) crime scene and terminates after he has completed all that he can possibly accomplish, to the point where a delay in additional action will substantially affect the successful outcome of the investigation.[5]

A key ingredient in this formula is the patrol officer. If he is well trained and capable, he can accomplish more and should be expected to do so. A department with many such officers may adopt a guideline, such as that used in Fremont, where officers may spend up to 40 percent of their available patrol time for investigation. In Fremont, it is the officer's responsibility to see that 60 percent of his time is available for answering police calls.

In Rochester, officers will follow through on an investigation only if it can be done within a relatively brief span of time. They are limited by the need to report back in service and assist other officers to handle the load of service calls. In New York City, officers feel socially pressured to assist other officers in handling service calls, and this affects the desire of officers to conduct intensive preliminary investigations. In Washington, D.C., officers "manage to find the time" to follow up on the limited class of cases for which patrol officers are fully responsible (see page 57).

In DeKalb County, the patrol sergeant is responsible for deciding whether to call a detective to the scene. Patrol officers generally do not request assistance without supervisory approval.

Many departments have attempted to increase the effectiveness of preliminary investigations by increasing the responsibility of patrol officers. Experience has shown that if the patrol officers are to be effective at their new tasks, then:

- they should be given specialized training;
- official guidelines expanding the scope of preliminary investigations should be issued; and
- a way to release more patrol time for investigations (by decreasing the number of officers handling investigations, handling more service calls entirely by telephone or somehow motivating officers to handle service calls more efficiently) should be designed.

When these three steps are *not* taken, there is a high risk that the expansion of the preliminary investigation process will be improperly implemented or that, as a side effect, the quality of police service will decline.

2. *Forms.* Three of the departments involved in this study have recently modified forms used for preliminary investigations. In Rochester and New York City, changes were made to provide increased guidance for the patrol officer and to help supervisors review reports more quickly. In Fremont, the principal purpose of the new form was to begin building a data base to use for "crime element" analysis. (The effectiveness of the Fremont form will not be known until a crime element analysis is performed.)

Forms frequently provide officers with guidance in how to proceed. For example, the order in which items occur on the form may influence the order in which the investigation is conducted.

Forms should be easy to use and yet portray a significant amount of information. At a minimum, space should be provided for all essential information. For the sake of completeness, officers may be required to indicate by a check mark that certain information is *not* available (as they are required to

[4] *Ibid.*, p. 41. The chapter beginning on page 41 of the IACP book contains many potentially helpful suggestions concerning interviewing techniques.

[5] *Ibid.*, p. 16. The bracketed material is a change in *substance* from the quoted original, which said "arrives at the." The change is believed to be an improvement because of the possibility that the officer may begin collecting information on the way of the crime scene.

do on the Rochester form, page 50). A two-color form, such as Rochester's, emphasizes for officers key items of information they must obtain, and helps supervisors review reports more quickly.

Sometimes, the preliminary investigation can be helped by not using printed forms. In Cincinnati, suspects' statements are routinely recorded on tape. This is felt to be advantageous to the witness because the recorded statement can be replayed in case there is any doubt about what was said, the reading of the suspect's rights is recorded, the statement can be made without delay and in the privacy of a cell, and there is a record of the conditions under which the statement was made — which should help later in refuting possible charges of coercion.

3. *Collecting Physical Evidence.* There are three principal methods used for collecting evidence:

- the patrol officer carries fingerprinting equipment and photographic equipment which he uses to collect physical evidence for most cases;
- the detective or investigator carries the appropriate equipment and collects the evidence; or
- an evidence technician (usually a civilian) collects the evidence.

The alternative approaches may vary so in quality that the proper solution for any department requires careful consideration of how effective each approach might be. Other considerations include: (1) How capable are the patrol officers? (2) How busy are the officers with other duties? (3) How well motivated are the patrol officers, and what effect (positive or negative) would enlarging their responsibilities have on their motivation? and (4) How much training and supervision is the department able to provide?

In Rochester, the department experimented with having each patrol officer in one team collect fingerprint and photographic evidence. This arrangement was compared (primarily on its physical products rather than on its effectiveness in solving crime) to the previous procedure in which all evidence was collected by evidence technicians. It was clear that:

- officers could take quality photographs using relatively inexpensive (Kodak Instamatic) equipment;
- officers had as much success in lifting prints as evidence technicians;
- communication between officers and evidence technicians was very poor, creating the need for technicians to duplicate much of the officers' investigations; and
- some officers were more conscientious in collecting evidence than others.

As a result of the experiment, Rochester plans to abandon the use of technicians and train a limited number of officers to lift prints. The trained officers will be called to the scene in the same way that evidence technicians were called.

In New York City, detectives lift almost all prints and take almost all photographs. Evidence technicians are called in only for truly exceptional cases. In Washington, D.C., patrol officers decide whether to request searches by evidence technicians ("crime scene search officers") or by officers attached to a mobile crime unit, which is called to the scene of major crimes to process evidence immediately. In DeKalb County, all evidence is collected by evidence technicians, but it is up to the patrol officer on the scene to decide whether to call a technician.

In deciding what physical evidence to collect and how to collect it, one should be guided by the intended use of the evidence and the expected success of the technique.

a. *Use of physical evidence.* Although physical evidence occasionally assists in identifying a suspect, its principal use is to prove a case against a suspect identified through other means, such as apprehension near the scene, witness identification, voluntary confession or information obtained from an informat. Joseph L. Peterson of the National Institute of Law Enforcement and Criminal Justice, in *The Utilization of Criminalistics Services by the Police*, found that:

- much more evidence can be collected from crime scenes than is usually collected and submitted for analysis;
- but even the small amount of evidence presently collected generally is more than crime laboratory resources can handle; and
- there are as yet no reliable cost/benefit indicators for determining the quantity and types of evidence which should be collected and analyzed.[6]

In light of these findings, great caution should be exercised by police managers seeking to run tight shops. Evidence should not be collected unless it can be analyzed and used. No more effort should be

[6] Joseph L. Peterson (National Institute of Law Enforcement and Criminal Justice), *The Utilization of Criminalistics Services by the Police: An Analysis of the Physical Evidence Recovery Process*, Government Printing Office (2700-00249), 1974, pp. 8-9.

expended on collecting physical evidence than can be justified.

b. *Problems with latent prints.* Latent prints are the most common pieces of evidence collected at the scene of a crime. However, they are used primarily as corroborating evidence in court. Occasionally, a police department will achieve a startling breakthrough in a case by checking an arrestee's prints through a manual print file, but most departments have experiences similar to that of Cincinnati, in which a Miracode[7] file has been operating since September 1973. In the first year if operation, there were 204 file searches resulting in "four or five hits." This ratio of searches to hits is believed to be typical. It is hard to justify the expense of maintaining these systems by their meagre results.

In New York City a system — too new to evaluate — has been installed at a cost of $300,000. In this system, microfilmed prints are scanned with a laser beam. A search of the huge New York files is expected to take minutes, compared to the weeks previously required. If successful, the system may provide a technique of use to police departments throughout the nation.

4. *"Buys" and rewards.* While many police departments permit detectives to buy information or offer rewards for information, most have not developed a system as routine as the one used in Washington, D. C. Information may be purchased there by detectives on the approval of their unit commander and the chief of detectives. For burglary, the maximum payment generally authorized is $25.

The offering of formal rewards for information in the District of Columbia is under the control of the General Counsel, who checks the exact wording of all reward offers and verifies the department's obligation to pay rewards to particular individuals.

5. *Early case closure.* A critical tactic involves deciding when to stop work on a case. Washington, D. C.'s procedure is believed to be typical of other investigative systems in the United States. A case may be "suspended" from further investigation by supervisory officials only when "every reasonable avenue of investigation has been pursued and exhausted."[8]

In contrast, Cincinnati, Rochester, Fremont, DeKalk County and New York City have variations of a relatively new system in which cases are closed as the result of the preliminary investigation *unless:*

- the crime is of an especially severe (e.g., homicide) or notorious nature; or
- there are enough investigative leads ("solvability factors" or "information elements") to make the investigation sufficiently promising to justify the expenditure of more time.

These systems frequently are called "early case closure" systems.

The advantages of early case closure are: it permits concentration of investigative time on serious and promising cases; it reduces the duplication which occurs when investigators repeat the same questions already asked of the witness by a patrol officer; it creates a greater incentive for the patrol officer to take his preliminary investigation seriously because he knows that his efforts will not automatically be duplicated; and it makes it easier to supervise and monitor the success of follow-up investigators because it provides a way of classifying cases by whether or not they may be solved.

The biggest drawback of early case closure is the mirror-image of one of its advantages. Since the patrol officer's investigation may lead to a decision to cease further investigation, the officer must be capable of meeting this increased responsibility.

Another problem is how to inform complainants that their case has been closed. Rochester tells complainants who inquire that their cases are no longer subject to field investigations but are subject to office investigations and will be more actively pursued if new leads are uncovered. DeKalb County uses a form letter for the same purpose.

6. *The decision to arrest.* The decision to arrest is such a key part of the investigative process that it should be carefully supervised. However, investigators typically are given wide latitude in deciding when they have enough evidence to apprehend a suspect.

Once an arrest is made, it may become more difficult to collect necessary evidence. In addition, it may sometimes be wise to defer arrests of certain suspects in order to gather evidence of their relationship to other criminal activity. Such a technique may be particularly important in cities with large illegal fencing operations.

Supervisory control over arrest should ordinarily be exerted prior to the arrest decision, but it may be sufficient for supervisors of particularly highly skilled investigators to monitor their arrest decisions retrospectively and to encourage them to consult their supervisor in advance in difficult cases.

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[7]. Miracode is Kodak's brand name for a system which contains microfilm data on suspects' identification and fingerprints and which uses a visual code contained on the microfilm to perform mechanically assisted file searches.

[8]Metropolitan Police of the District of Columbia, General Order 304, December 1974, p. 9.

C. Supervision of Investigative Personnel

1. *The detective mystique.* The nature of detective work sometimes makes it hard for a manager to find out what specific tasks have been done. Nevertheless, most departments contacted felt strongly that permitting the detective to give ambiguous answers about his work was an abdication of management responsibility.

At a series of conferences held by the Police Foundation,[9] the prevailing view among managers of detectives was that adequate supervision requires overcoming the "detective mystique," the attitude that detectives are uniquely talented individuals, superior to all other officers. It causes detectives to treat other police employees as inferiors and leads them to resent any attempt to monitor and direct their activities. This mystique is the cloak of mystery into which a detective sometimes withdraws when trying to account for his activities — as when a pleasant two-hour stint at a bar is described as "cultivating informants."

A variety of supervisory techniques can be used to pierce the detective mystique and provide constructive, supportive direction to detectives. For example, in Washington, D. C., detectives no longer have individual desks; squads share a table and maintain common files. Detectives are dispatched just like patrol personnel and may be reassigned to new tasks through the radio dispatcher.

In Fremont and New York City, detectives are required to keep updated files on each case so that any detective may take over the case and any supervisor may easily determine its status. In the team experiment in Rochester, an individual detective may be assigned to a case but the files on that case are the team's files, and any officer may be placed on a particular aspect of the case. Detectives in DeKalb County are encouraged to help each other; performance evaluations are based on overall contribution to the department's activities as well as on performance on assigned cases.

The only city in the study which receives formal feedback from the prosecutor about individual performance is Washington, D. C., where reports of police errors are sent to an individual's commander. This report is the subject of a conference between the officer and his supervisor. The frequency of these reports is tabulated by unit.

Competent personnel need not be subject to detailed scrutiny of their every move. The more skilled and highly motivated the investigator, the less necessary and more wasteful such scrutiny would be. The core of an accountability system is that the supervisor be aware of the size and difficulty of the workload of each investigator and his success in responding to that challenge.

2. *Investigation in a team approach.* In Rochester and New York City, patrol commanders are responsible for the performance of detectives assigned to their commands. In Rochester, a lieutenant commands a team of about 45 sworn personnel, including about six detectives. In New York City, a captain or deputy inspector commands a precinct with 250 or 380 sworn personnel, including up to 25 or 30 detectives.

In Rochester's teams, the patrol and investigative personnel attend the same roll-call meeting, at which time they exchange information. Then the detectives may get together for a further exchange of information and a division of tasks on that tour. The patrol sergeant responsible for the shift often will attend both meetings; although he may be less likely to attend the detectives' meeting if the detective sergeant responsible for detective personnel is working that particular shift. One official[10] reviews all preliminary reports and coordinates all investigations. It is obvious to the outside observer, even on brief exposure, that there is a spirit of cooperation between the patrol and detective personnel in these teams.

In New York City, the precinct investigative unit reviews the preliminary investigation reports filed by patrol personnel and develops a fair level of awareness of the capabilities of each officer. A single official — in one case, a detective lieutenant — reviews all cases in the precinct and coordinates all investigations. This somewhat closer level of association among detectives and patrol officers seems somewhat better than an entirely specialized and centralized system.

In Cincinnati, which has experimented with the assignment of investigative specialists to both teams and police districts, no final decision has been made as to which approach works better. Preliminary evidence indicates district-wide assignment has an advantage in processing follow-up cases but the team method produces a somewhat better record for the overall police operation (including patrol).

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[9]Donald R. Weidman, *Improving Police Investigation Through Better Management*, The Urban Institute, 1974.

[10]On one team, the team commander has previous investigative experience and personally provides this supervision. In another, a detective sergeant has accepted the responsibility for this supervisory role.

D. Investigative Activity Not Related to Particular Cases

There are often many investigative activities that are not specifically directed at cases. Some examples are:

- dealing with informants,
- pawnshop squads and mock fencing activities,
- detective patrols and stakeouts,
- crime pattern analysis,
- debriefing suspects about other crimes,
- contact with the public and press relations, and
- training of investigative personnel

1. *Dealing with informants.* One problem officers have in dealing with informants is establishing and maintaining confidence. Some informants may be very hesitant to dial a police number in order to contact an officer. To overcome this, a particularly dedicated officer in Rochester pays for his own paging system, by which a private operator answers his calls and then pages him through a beep on a receiver he wears on his belt. (Many doctors use similar receivers.) Thus, the informant never needs to talk to any police personnel except the particular officer with whom he seeks to talk.

One of the teams in Rochester protects the identity and location of informants by supplying telephone personnel with a list of informants and the name of one or more officers (in priority order) to contact should they call. This minimizes the information that informants need to supply to telephone personnel and somewhat decreases their fear of dealing with the police.

In DeKalb County, although detectives normally operate alone, they are required to talk to informants in pairs. The idea is that two individuals are better at sizing up an informant than one and better able to avoid setups.

2. *Anti-fencing activities.* Several of the departments studied regularly deal with pawnshops or second-hand shops to find out about identifiable goods or the activities of known burglars. Washington, D. C., in fact, has a regular pawnshop unit in its burglary squad which maintains close contact with all pawnshop operators in the city. The dealers are required to file with the department a list of all items pawned in the previous 24 hours. The unit checks the names of people who pawn against a file of names and known aliases of burglars. It also obtains cooperation from pawnshops in voluntarily identifying repeated pawners. No evaluation of the effectiveness of this unit has been made.

One high-risk crime fighting tactic is to take over a criminal fencing operation and run it under carefully controlled conditions in order to gather information about crime and criminals. New York City's use of this technique is discussed on page 94 of this report. Maintaining a fence should be undertaken with great caution because it encourages people to commit property crimes by providing them with a ready market, as does any fencing activity.

3. *Detective patrols and stakeouts.* Sometimes criminals may best be apprehended by using plainclothes patrol of an area or by means of a stakeout. Where investigative personnel are paid more than patrol personnel, their use for such assignments is highly questionable. Many patrol personnel may be just as effective in the use of disguises or in inconspicuous patrol. In cities using neighborhood teams, it is relatively easy for the team commander to give a uniformed officer a temporary undercover assignment.[11]

4. *Crime pattern analysis.* The purpose of crime analysis is to ascertain patterns among crime data which will be useful to investigate or patrol personnel.[12] Some of the best crime analysis can be performed by individual officers and investigators, working alone and conferring with one another to share information. A team commander familiar with the work of patrol and investigative officers in a small area of the city may have constructive ideas about how to combat the extensive activities of one criminal or a group of criminals.

Of course, a team commander (or analyst in a team) is more likely to spot the patterns of offenders who are working intensively in a small neighborhood. As the area increases, the more distinctive the pattern of activity will need to be before it will stand out. The more common the crime pattern, the more likely that analysis will be a waste of time. Indeed, statistical programs will attempt to find geographical or M. O. patterns by operating on a large data base are doomed to failure unless methods of seeking unusual patterns have been built in. The machine is no more capable of finding patterns among masses of mundane events than is a person.

The involvement of investigative personnel in crime analysis and crime-analysis planning may be very helpful. These officers will have a sense, from their everyday experience, of the kinds of patterns

[11]Peter B. Bloch and David Specht, *Neighborhood Team Policing*, Government Printing Office (2700-00240), 1974, pp. 80-103, and pp. 115-116.

[12]See George A. Buck, *et al., Police Crime Analysis Unit Handbook*, Government Printing Office, (2700-00232), 1973.

which are distinctive. In general, they can help provide the hunches which may pay off either in a manual analysis system or in a machine-assisted system.

If an analysis system is used, different methods of analysis should be subject to evaluation of their effectiveness. Ineffective methods should be dropped and new ideas tested.

5. *Debriefing suspects.* A potentially important but often neglected tactic is to get suspects or witnesses in one crime to provide information about other crimes. Some suspects seeking to prove their cooperativeness or hoping to gain favor are quite willing — but they must be asked. Furthermore, obtaining this information may save the prosecutor from being surprised when the credibility of his witness is attacked in court by the defense attorney.

To systematize this kind of procedure, New York City has developed a special debriefing form (see page 93). A complete evaluation of New York's procedure is not available, but it has led to at least a few additional arrests. Even without formal procedures, questions about other crimes can be made a standard part of interrogations in a department.

6. *Contact with the public and press relations.* One technique frequently recommended to improve relations with the public may, unless carefully handled, have a serious adverse impact. In some cities, officers are advised to tell recently burglarized individuals how they might avoid further victimization. Yet, if the recommended steps are costly, adding expense to injury, these recommendations are likely to be resented.

On the other hand, crime prevention advice — properly managed — can improve the department's public relations.

One of the toughest problems in investigations for the police chief is deciding how to deal with the press. There is inevitable conflict built into the relationship. Witnesses must be protected from unnecessary harrassment. The police must not prosecute defendants through the press for fear of prejudicing court cases. Yet, the press must fight to be informed and to inform the public.

In this conflict-laden situation, the only advice is simplistic: tell as much as you can without violating the rights of individuals or destroying your case. Proper guidelines can be drawn up in advance, preferably with legal advice. In addition, an informal program of keeping the press knowledgeable about changing procedures and the reasons for press policy may help to reduce tensions and ease the crunch on important matters.

7. *Training investigative personnel.* Training is an integral part of police work. Yet specific training in investigative techniques either for new recruits or for experienced officers needing to improve their investigative skills, sometimes is neglected.

In Cincinnati, investigative training is received on the job, and additional course work also is encouraged. In New York City, new detectives attend a police academy course and subsequently attend short in-service courses. Most training in Rochester is on the job although there are some in-service courses. In Washington, D. C., in-service training is based, to some extent, on case reviews by the General Counsel's office. Nearly twenty percent of the policy academy course in Fremont is devoted to investigations. In addition, there are 176 hours of on-the-job investigative training and special training courses for sergeants. DeKalb County has its own academy investigative training and also has in-service training for all officers. Frequently officers are sent to special courses offered throughout the country. Detectives are trained primarily by working with other detectives.

Supervisors rarely assist in defining training needs or in evaluating the effectiveness of training. The involvement of field supervisors in the training process should be considered by all departments seeking to increase the relevance of their investigative training.

CHAPTER V. FREMONT, CALIFORNIA, POLICE DEPARTMENT

A. Introduction

Fremont, California, is a rapidly growing suburb of the greater San Francisco Bay Area with a moderately high reported crime rate. Its system of managing criminal investigations is characterized by:

- a management philosophy emphasizing that every member of the department is responsible for investigation,
- manpower allocation through individual initiative,
- a formalized system of early case closure using quantified solvability factors, and
- participation in a multi-jurisdiction Crime Data Network.

Fremont was just incorporated in 1956. Its police officers are young and well educated, with a majority having had at least some higher education. Civilians, 37 percent of total personnel, fill a wide range of roles in the department. Planning and progressive management are everyday aspects of the department's operation, as the department continually adjusts to its expanding city. All levels of personnel participate in the planning process.

Fremont has nine sworn personnel for every 10,000 residents (see Table 3). Only nine percent of these employees have full-time investigative responsibilities, but this figure is deceptive since every officer is expected to devote a substantial portion of his efforts to investigations.

TABLE 3
BASIC STATISTICS ABOUT FREMONT, ITS POLICE DEPARTMENT AND ITS INVESTIGATORS
(1973)

CURRENT POPULATION (City's Estimate)[a]	123,325
AREA (square miles)	98.6
TOTAL NUMBER OF SWORN PERSONNEL	116
Sworn Personnel per 10,000 residents	9
Uniform Crime Offenses[b] per 10,000 residents	632
Uniform Crime Offenses per police officer	67
NUMBER OF DETECTIVES[c]	9
Investigators per 10,000 residents	1
Percent of total sworn personnel	8
NUMBER OF DETECTIVES AND SUPERVISORS ASSIGNED TO THE CRIMINAL INVESTIGATIONS SECTION (rather than to Patrol Division)	9
Percent with supervisory rank (sergeant or above)	44
Percent of detectives and supervisors assigned to the Criminal Investigations Section	100
Percent of sworn personnel assigned to the Criminal Investigations Section	8

TABLE 3
BASIC STATISTICS ABOUT FREMONT, ITS POLICE DEPARTMENT AND ITS INVESTIGATORS (1973) — CONTINUED

NUMBER OF CIVILIAN EMPLOYEES	69
Percent of total employees	37

[a] 1970 Population, according to the census, was 100,875. This indicates an annual growth rate of 6.9 percent, almost all of which appears from city estimates to have occured by December 1972.

[b] Homicide, rape, robbery, aggravated assault, burglary, larceny (regardless of amount), and auto theft.

[c] Includes detective specialists, uniformed personnel, and their supervisors assigned to the Investigation Section. Excludes Youth Unit Personnel.

SOURCE: Fremont Police Department Monthly Crime and Activity Report, December 1973.

B. Distinctive Features

1. *Management approach.*

a. Philosophy. The principal influence controlling police behavior is a management philosophy that is expressed in the following set of goals:[1]

1. Pursuit of Excellence
2. One-Service Team Concept
3. Positive Organization Climate
4. Progressive Leadership
5. Anticipatory Management
6. Continuing Career Development
7. Knowledge in Depth
8. Management by Objective
   a. Assessment by Results
9. Utilizing Science and Development

The department tries to avoid detailed rules of conduct.

b. *Responsibility for investigation.* The investigation of crimes is considered to be an essential police function for which each officer in the department is responsible. There is no organizational division between patrol and detective units. There is no pay differential or rank differentiation for detectives. The length of an officer's assignment to the "Investigative Section" of the Operations Division generally is two years, after which he returns to patrol responsibilities.

To a great extent, the investigation section serves the field officers. Much of the investigative load is handled by patrol officers. An investigator is called to assist a patrol officer on a case only if a Patrol Section supervisor or Operations Officer determines the need for one according to the following criteria:[2]

- Special knowledge or expertise of the investigator that would materially enhance the investigation.
- If a suspect is known but not in custody, and there is a need for an immediate follow-up and apprehension.
- The nature of the investigation precludes sector officers from completing it, due to unusual constraints, e.g., investigation out of the city, need to respond to other calls for service, etc.
- A suspect is known and in custody and is providing information that would be valuable in clearing other serious offenses.
- Other unusual situations as approved by Operations Officers, the Investigative Commander, Division Commander or Chief of Police.

c. *Coordination of detectives with patrol.* All officers in the investigative section attend the Patrol Section briefing, thus providing an opportunity for exchange of information and discussion of mutual problems.

All personnel may prepare Special Information Bulletins,[3] which are kept in a binder for ten days in each unit and for 90 days in a Master Binder kept in the Operations Lieutenant's office. Information in these bulletins include: (1) major crimes (excluding burglaries unless they involve unusual circumstances or a loss of weapons), (2) chronic problems, (3) hazardous situations, (4) wanted persons, and (5) sector information (including activities which may create police problems, patrol complaints and traffic complaints). A weekly bulletin is printed describing all burglaries in the city[4] for each of the four sectors.

d. *Assignment of investigators.* Investigators

[1] "Applicable Management Philosophy — Police Department," Fremont Police Department, January 1974.

[2] City of Fremont Police Department, Operations Directive 74-5, February 27, 1974.

[3] City of Fremont Police Department Operations Directive 73-15, November 27, 1973.

[4] Includes report number, time of occurence, type of burglary, reporting area, specific location and general summary of items taken.

are assigned both to an "on-call" schedule and to a "secondary on-call" schedule. All calls for investigative assistance, whether during the regular workday or after hours, are referred first to the on-call officer and next to the secondary on-call officer. Each week the on-call assignment is rotated among all investigative personnel, excluding vice unit personnel. Secondary call-out lists also are prepared each week. To facilitiate rapid response, the on-call investigator is permitted to drive his unmarked car home, but it is to be used for official business only.

If the first investigator to the scene determines that more investigators are needed, he may request assistance from the senior supervisor on duty. Since only one investigator normally is on call, additional investigators are assigned, consistent with their availability.

e. *Case files.* All forms completed by officers are filed in standardized case file envelopes. These files are required to be sufficiently complete "for any other officer to ascertain the present status and undertake further investigation"[5] without referring to any other source.

The first from in the file is a "police report" — similar in content to reports used in other departments — which provides for extensive comments on additional suspects, witnesses, subjects and victims, observations, elements of the offense, actions taken, evidence and property (and where they are stored), and transcriptions of statements. Continuation forms may be used to extend the narrative.

For each crime, a crime element sheet also is completed to facilitate computer analysis. The sheet is an extensive list of items which the officer may check in order to indicate what has happened in the crime, including suspect identification, premises or location of occurrence, means of attack, special suspect trademarks, the object of attack, and identification of a suspect vehicle. Uniquely identifiable property is described on a supplemental sheet which is entered into a state data system. (Information on stolen property is available from the files of the State of California in about 2 1/2 minutes).

2. *Manpower allocation by the 60/40 plan.* It is a goal of the Fremont Police Department to have at least 40 percent of an officer's *available time* devoted to preventive patrol and other related activities, including investigation; the other 60 percent is allocated to "calls for services."[6] In practice, about 28 percent of the time not spent on calls for service is spent on investigations.

For the purpose of this formula, *available time* does not include days off, vacation, sick leave, specialized training and review, on-duty court appearances, compensatory time off, miscellaneous leave (military, emergency, leave of absence, etc.), basic training or injury on duty. In addition, 150 minutes (two and one-half hours) of every eight hour tour are considered to be unavailable because they are spent on roll call (30 minutes), meal periods (30 minutes), two coffee breaks (30 minutes total), work preparation at the start of the shift (15 minutes), obtaining beat information and exchanging vehicles (15 minutes), vehicle servicing and fuel (15 minutes) and personal hygiene (15 minutes).

Each patrol officer has the responsibility to see that a substantial portion of his time is spent on preventive patrol. When an investigation is so time consuming as to interrupt his basic responsibilities, the officer (and his supervisor) are responsible for calling investigators for assistance. The number of investigators needed in the department is determined by the frequency with which their services are requested in order for officers to adhere to the 60/40 standard.

3. *Early case closure.* The Fremont Police Department has been a leader in the study of the investigation of burglaries. Under Grant 0504 from the California Council on Criminal Justice, the Fremont department provided project management for a six-agency study conducted by the Stanford Research Institute under the research leadership of Bernard Greenberg.[7]

The Fremont study examined a sample of burglary investigations in six cities and compared the characteristics of cases which were closed as the result of follow-up investigations to cases in which follow-up investigation was fruitless. Based on the correlations observed, the authors developed a scale (see Table 4) which is in use in Fremont today.

As Greenberg himself stated in the study, these guidelines for case closure should be considered illustrative only. Each department should examine its own files to see whether certain kinds of cases are so unlikely to produce results that further investigative activity is not worthwhile. Then, the department should ask: How can we manage our system so that more classes of cases can be efficiently solved? For

[5]Operations Division Directive 73-16, "'Case File' Envelopes," March 30, 1973.

[6]*Manpower Analysis Study of the Fremont Police Department*, February 1972.

[7]*Enhancement of the Investigative Function*, Vols. I and II (June 1972), Vol. III (September 1972. Vol. IV, Addendum (January 1973), Stanford Research Institute, Menlo Park, California.

example, in the Greenberg study, one jurisdiction was particularly effective at closing cases with descriptions of vehicles, apparently due to an efficient method of checking vehicle information. If an agency found that vehicle information was an insufficient ground for continuing work on a case, then it must ask itself whether it can afford to install an efficient method of using what previously was wasted information.

TABLE 4
CASE DISPOSITION DECISION RULE

INFORMATION ELEMENT	WEIGHTING FACTOR
Estimated range of time of occurrence	5
Less than 1 hour	5
1 to 12 hours	1
12 to 24 hours	0.3
More than 24 hours	0
Witness' report of offense	7
On-view report of offense	1
Usable fingerprints	7
Suspect information developed-description or name	9
Vehicle description	0.1
Other	0
Total Score	

Instructions:

1. Circle the weighting factor for each information element that is present in the incident report.
2. Total the circled factors.
3. If the sum is less than or equal to ten, suspend the case; otherwise, follow up the case.

"Early case closure" in Fremont primarily means that the department closes cases when it believes that further investigation would be fruitless; the decision rule illustrated in Table 4 is less important than the concept. In many departments, detectives *always* follow up on a case, regardless of the thoroughness of the preliminary investigation or the lack of promising leads.

As part of the Fremont-Greenberg study, a *Burglary Investigator's Handbook*[8] was developed and printed. The *Handbook* is a brief, easily carried manual which states for the patrol officer, the requirements of each step in a burglary investigation. The philosophy of the *Handbook* is that:

> Motivation can be encouraged at the patrol level by assigning more investigative responsibility to the beat officer, so that he is a patrol investigator rather than a mere report taker. The incentive to solve a case can motivate improved performance and stimulate interest in developing investigative skills. The *Handbook* is geared to this mode of operation.

The *Handbook* contains many potentially useful hints which can improve a trained investigator's field work.

4. *Multi-jurisdiction cooperation on crime date.* Fremont has available to it a county-wide arrest, charge, conviction, fingerprint, and photograph file called C.O.R.P.U.S., which includes a list of relatives of known felons.

A nine-county area Police Information Network (P.I.N.) responds to inquiries about warrants and wanted persons. It includes data on the counties and is connected by telecommunication both to the statewide system) California Law Enforcement Telecommunications System, in the Divison of Law Enforcement, Department of Justice, State of California) and to N.C.I.C. The Department of Motor Vehicles for California provides records on drivers and vehicles, including license, registration and ownership. The statewide system also can correlate bits of information about vehicles and

[8]Stanford Research Institute, *Burglary Investigator's Handbook: Investigation Guidelines*, Menlo Park, California, January 1973.

drivers, such as compiling a list of blue sedans with the number "123" somewhere in the middle of the plate. The state has an automated traceable stolen property system, generally used primarily for large-haul thefts or for stolen autos and firearms. Information requests can be filled in minutes or sometimes seconds.

In Fremont, most data are obtained very quickly through high speed communications equipment that ties directly with most available information systems.

A county crime laboratory is just now being expanded for improved analysis and processing of physical evidence.

C. Other Features

In addition to the elements of its management system which are particularly characteristic of Fremont, discussed above, there are other elements which are more similar to what is found elsewhere. Those elements will be discussed in this section.

1. *Legal advice and relationship to the Prosecutor.* There are no formal legal advisors within the department, but prosecutors are available for consultation on a twenty-four hour basis, particularly concerning the legality of search procedures. There is a procedure for calling a deputy district attorney to approve a request for a warrant.

The prosecutor informs a police liaison officer of the strengths and weaknesses of each case presented to him. The prosecutor often returns cases to be firmed up by further investigation within the 48 hour arraignment period provided by California law. This procedure is believed to increase the investigator's effectiveness and to boost courtroom prosecutorial success.

2. *Witnesses.* Any communication with witnesses or victims to inform them of the status of a case is at the discretion of the officer in charge of a case. For court appearances, witnesses are served a subpoena by a Field Service Officer, a police paraprofessional. For attendance at court, witnesses receive $18 per day plus expenses. The scheduling of court appearances is at the discretion of the court and does not include any systematic effort to accommodate the schedules of witnesses or police officers.

The principal advantage for witnesses of the Fremont integrated investigative system is that it is unlikely that they will need to duplicate their story for two or three different investigators.

3. *Handling physical evidence.* During the on-scene investigation, the officer also collects physical evidence, including prints, tool marks, trace materials, etc. Specialized evidence technicians are utilized only if the case is too involved or complex to be handled by the patrol officer alone.

4. *Supervision of investigations.* The supervisor assigned to an investigative unit is considered to be an advisor or super-specialist for the unit. He makes few of the decisions about investigations handled by the unit. The assigned investigator has broad discretion about pursuing a case and may, with supervisory approval, initiate plans for stakeouts, undercover work or the use of limited "buy money."

Since patrol officers serve for a time in investigations units and pass back into patrol operations, many field patrol officers are qualified investigators. It is a relatively simple matter for investigators or their supervisors to call on expert field patrol officers to assist them on individual investigations.

On the second anniversary of his appointment to the department (at the end of his probationary year) and once every year thereafter, an officer's supervisor completes an employee performance evaluation form, which is discussed in an interview with the employee. (For the first 33 weeks, the officer is rated weekly, in a training status. From the 34th week to the 24th month, he receives ratings monthly.) Officers are rated on general traits, such as job capability, job accomplishment, acceptance of responsibility, work habits and attitude, ability to get along with associates, judgment, writing ability and oral expression, leadership ability, public impression qualities and an overall rating. There is also a judgment about advancement potential. The employee is encouraged to record his comments on the rating form.

5. *Training.* The basic academy course lasts for 879 hours (about 22 working weeks). Eighteen percent (159 hours) of this course is devoted to subjects related to investigation. In addition, an officer receives 176 hours of on-the-job training relevant to investigation during his first two years in the department.

Newly assigned investigators must have had 30 months of service before their assignment. They receive 80 hours of general investigative training plus ten hours of on-the-job training per year of assignment as an investigator. In addition, each individual receives from 40 to 80 hours of training, usually in an academic institution, for a specific area of assignment. Homicide investigators receive exceptionally intensive training, consisting of 100 hours.

Newly appointed sergeants receive a 100-hour supervisory management training course given in

conjunction with the Oakland Police Department. The course curriculum covers the sergeant's role in management, the background and importance of modern management theory and application, the combined importance of technical competence and social awareness, the role of a supervisor as a trainer, the supervisor's responsibility under the California Occupation Safety and Health Act, methods of writing letters and memoranda, the different styles which may be used in supervision, how to handle grievances, how to exercise supervisory and human relations skills, management by objectives, team activity, organizational climate and management's responsibility in career development.

CHAPTER VI. CINCINNATI, OHIO, POLICE DIVISION

A. Introduction

Cincinnati is a high-crime urban area with more police per capita than a typical city of its size.[1] Its system of managing criminal investigations is characterized by experimentation to evaluate operational methods. Principal ongoing management activities include:

- an experiment in different levels of decentralization of investigative personnel,
- the introduction of management by objectives,
- the use of early case closure methods,
- the use of new methods of measuring the effectiveness of detectives,
- the use of outside evaluators and the use of civilians in the Program Management Bureau,
- the use of task forces as a planning tool,
- the use of Miracode for scanning and comparing stored fingerprints with suspect prints, and
- the use of tape recorders for taking statements from suspects.

Cincinnati has 33 sworn officers for every 10,000 residents. Twenty-two percent of the officers are specialists with investigative assignments, supervisors of these specialists, or uniformed personnel serving in an investigative capacity (see Table 5). Cincinnati has six investigative specialists (including supervisors) per 10,000 residents.

[1] Harry Hatry, et al. *The Challenge of Productivity Diversity: Improving Local Government Productivity Measurement and Evaluation, Part III, Measuring Police-Crime Control Productivity*, The Urban Institute (available from The National Commission on Productivity), pp. 46 and 49.

TABLE 5
BASIC STATISTICS ABOUT CINCINNATI, ITS POLICE DIVISION AND ITS INVESTIGATORS
(1973)

POPULATION (1970 Census)	452,524
AREA (square miles)	78
TOTAL NUMBER OF SWORN PERSONNEL	1,480
Sworn Personnel per 10,000 residents	33
Uniform Crime Offenses[a] per 10,000 residents	648
Uniform Crime Offenses per officer	33
NUMBER OF INVESTIGATORS[b]	248
Investigators per 10,000 residents	6
Percent of total sworn personnel	22

[a] Homicide, rape, robbery, aggravated assault, burglary, larceny (regardless of amount; and auto theft.

[b] Includes specialists, uniformed personnel, and their supervisors assigned to the Investigative Services Bureau. Also includes a similar number of uniformed personnel and supervisors for support and supervision of specialist-investigators assigned to police districts.

SOURCE: *Records Section of the Cincinnati Police Division, 1973 Annual Report of the Division of Police: Police Statistics of Cincinnati.*

TABLE 5
BASIC STANDARDS ABOUT CINCINNATI, ITS POLICE DIVISION AND ITS INVESTIGATORS (1973) — CONTINUED

NUMBER OF INVESTIGATORS AND SUPERVISORS ASSIGNED TO THE INVESTIGATIVE SERVICES BUREAU (rather than to Field Operations Bureau)	112
Percent with supervisory rank (sergeant or above)	17
Percent of specialists and supervisors assigned to the Investigative Services Bureau	41
Percent of sworn personnel assigned to the Investigative Services Bureau	9
NUMBER OF CIVILIAN EMPLOYEES	356
Percent of total employees	19

B. Distinctive Features

1. *Decentralization experiment.* The Cincinnati Police Division conducted an experiment between March 1973 and January 1974 comparing three ways of administering investigations.

a. *Three Methods.* In the *centralized* method of conducting investigations, all investigative work is handled by specialized detective units stationed at central police headquarters. This was the method used in most of the city during the experiment.[2]

In the *partially decentralized* method, implemented in one of the city's six police districts, detective specialists are assigned to the patrol commander (a captain) for that district. These officers are divided into two squads, one for crimes against property and the other for crimes against the person. Homicides committed in that district are the only crimes for which a central squad is responsible.

In the fully *decentralized* method — called COMSEC, for Community Sector policing — detective specialists are assigned to the six COMSEC teams, each of which is commanded by a patrol lieutenant. In this method of operation, an average of four detectives work with each team. Patrol officers are encouraged to perform investigative functions. Detectives are assigned cases by the team commander.

b. *Evaluation of the experiment.* The evaluation of the decentralization experiment was conducted by the COMSEC Evaluation section of the division's Program Management Bureau, with assistance from outside evaluators.

There are two ways to evaluate the decentralization experiment. First, one can look at the overall effectiveness of the police effort in the districts using the different experimental treatments. In this view, detective work is considered to be one aspect of police operations and it is judged in terms of its effect on the overall police effort. Second, one can look at measures only of the investigative function and try to determine which method was most effective in accomplishing investigative processes. An advantage of the second viewpoint is that the experiment probably has a more direct effect on investigations than on policing as a whole. On the other hand, if one looks only at investigative functions, one runs the risk of adopting a method that improves investigations at the cost of hampering overall police effectiveness.

(1) *Overall level of effectiveness.* The *fully decentralized* method (COMSEC) showed the best *overall* effectiveness during the experimental period, as indicated by a higher clearance by arrest rate and a higher overall clearance rate.[3] The fully decentralized method increased its clearance rate by 30 percent over its baseline period, while the partially decentralized method showed a 15 percent improvement and the centralized method showed no improvement.[4]

(2) *Investigative effectiveness.* To a large extent, the high clearance by arrest rate of the fully decentralized method was due to arrests made on the same day the crime was reported. The fully decentralized method cleared 20.6 percent of its

[2]During the last two months of the experiment, formerly centralized burglary detectives were partially decentralized by being placed under the command of district captains.

[3]These clearance rates consist of the number of crimes in a month that subsequently were cleared. They are *not* the number of crimes cleared during a month divided by the number occurring in that month.

[4]The clearance by arrest rate for the fully decentralized method went from 18.7 to 24.4 percent; the partially decentralized method from 13.5 to 15.5 percent; and the centralized method went from 16.6 to 16.2 percent. Arrests by security guards (non-police) were not counted.

cases by an arrest on the same day as the crime, compared to 8.0 percent for the partially decentralized method and 11.3 percent for the centralized method. Arrests made after one day had elapsed were termed "investigative arrests" by the Cincinnati evaluators. Of the cases for which an investigative arrest was possible (not cleared on the first day), the *partially decentralized* method was the most successful, closing 8.2 percent of the eligible cases, compared to 5.7 percent for the *centralized* and 5.5 percent for the *fully decentralized* methods.

c. *Opinions of participants.*

(1) *Opinions of investigators.* The Cincinnati evaluation was buttressed by interviews of investigators who were involved in each of the three experimental methods. No patrol officers were interviewed. These interviews showed:

- Investigators tended to believe that the methods they were using were most effective.
- Fifty-one percent of the investigators were, for a variety of reasons, skeptical about the accuracy of clearance statistics in judging the decentralization experiment.
- A small group of formerly centralized burglary investigators who had recently been assigned to districts under the command of the patrol captain favored the partially decentralized method (nine of 14 preferred that method) — which was closest to the new method under which they were operating.

(2) *Prosecutor's reaction.* A county prosecutor interviewed in the course of preparing this report strongly believed that COMSEC officers were less well trained than other officers to build court cases properly. He felt that they did not follow through on all their leads and that some cases were lost through mishandling by COMSEC officers.

(3) *Top command impressions.* Top commanders interviewed for this report tended to favor the partially decentralized method of using detectives. Cooperation and communication were found to be good, both among investigators and between investigators and patrol officers. By contrast, COMSEC was thought to pose communication problems both among teams and between teams and centralized detective units. While COMSEC was believed to have many good points, a partially decentralized method was preferred.

d. *Conclusions.* The Cincinnati data are diffcult to use to reach a firm conclusion about the effectiveness of the different methods of centralization. To the extent that the data indicate any superiority, the fully decentralized method is favored. The fully decentralized method seems to have achieved a superior overall police effectiveness level judged by the clearance by arrest rate. The attitude data meanwhile suggest that investigators can learn to live with any of the three methods.

2. *Management by objectives.* Management by Objectives is an important aspect of the operations of the Cincinnati Police Division. In a summary description prepared by Robert Quirk for the Training and Education Section of the Cincinnati Police Division, MBO was defined as "a process whereby superior and subordinate jointly identify the common goals of their organization, define each individual's major areas of responsibility in terms of the results expected, and use these measures as guides for operating the unit and assessing the contribution of each of its members." In the Cincinnati Police Division, the process works as follows:

a. The chief and the assistant chiefs establish major goals for the division. Examples of major goals are:

(1) To provide for efficient and effective organization and administration of the Police Division, so as to render adequate police service to the community.

(2) To reduce the current level of victimization of people and property in Cincinnati through the maximum utilization of resources and techniques.

(3) To preserve the public peace in Cincinnati, including the regulation of non-criminal conduct and the enforcement of non-criminal laws.

b. Then, the bureau commanders, in conjunction with their subordinates, develop and assign priorities to *objectives* and formulate *supporting objectives* or *action plans* to meet these objectives. An attempt is made to state these objectives and action plans in measurable terms. Occasionally objectives are stated in intangible terms like the objective "to improve communications." Then, in these cases, an effort is made to develop supporting objectives or action plans which can be measured — such as, in the communications example, "to publish at least one newsletter every two weeks" or "to hold one staff meeting every week."

Examples of objectives and action plans are:

(1) To qualify at least 1/12 of assigned personnel in your command in the use of firearms each month.

(2) To reduce the amount of accrued overtime by 5 percent by May 1975.

(3) To reduce by 10 percent the amount of automotive downtime.

Every twenty-eight days, the supervisors (lieutenants and sergeants) meet with their subordinates (specialists and patrolmen) in a *feedback session* to evaluate progress in achieving the goals. Every three months the captain or lieutenant in charge of a unit meets with the bureau commander and the bureau commanders meet with either the chief or an assistant chief in an *achievement session* to determine to what extent the goals and objectives are being met. Objectives and action plans may be added, adjusted, or dropped as a result of these discussions, so that the system is dynamic and flexible.

The advantages of MBO, according to Lt. Col. Grimes, Commander of Field Operations of the Cincinnati Police Division, are:

- Better planning
- Increased participation
- Generation of more ideas about how to solve problems
- More concensus on what to accomplish
- Constant attention to problems
- A better mechanism for alerting personnel to problems
- Measurement of the extent to which these problems are solved
- Greater ability to make revisions when necessary
- Increased accountability
- Improved information and communication
- Improved coordination in a decentralized system
- Better use of resources and time.

In a survey taken in October 1973, police officers in COMSEC (District 1) had a generally positive attitude toward MBO. In response to thirteen questions, the officers exhibited general agreement with the statements concerning the usefulness of MBO. They rated MBO 5.03 on a seven point scale with 4 being a "neutral" response and 5 being "agree somewhat." It should be noted that this survey was given less than a year after MBO had been initiated. The survey is currently being repeated.

The Cincinnati Police Division met some initial resistance to MBO; however, MBO is now accepted as "part of the system." It has been in operation three years in the Field Operations Bureau and two years in the other bureaus. According to Lt. Col. Grimes, MBO is doing well, especially considering that experts say that it takes three to five years for an MBO system to become fully operational and to begin working smoothly.

It is our impression, based on a few interviews with others in the department, that there still is substantial resistance to the effective use of MBO — representing a continuing challenge to management. The resistance is due, in part, to a perceived conflict between the participative management style of neighborhood team policing (COMSEC) and the dictation of MBO goals. Since police management does not intend to use MBO as a way of dictating goals, this problem should be solvable.

Further information about Management by Objectives is contained in Appendix D.

3. *Early case closure.* An early case closure procedure is in effect in both the completely decentralized and partially decentralized areas. The purpose of the procedure is to save time on cases where there is little chance for progress and to permit concentration on promising cases.

> The concept of immediate closure is based on the absence of viable leads at the conclusion of the preliminary investigation . . . The basic approach to the concept of early case closure is that no cases be closed early unless all leads have been exhausted. Cases cannot be closed early simply because the case is a minor one in the eyes of the division. Certain areas of inquiry must be explored to develop viable leads before the case be immediately closed.[5]

Even if technical specialists or investigators arrive on the scene,

> It is still the responsibility of the patrol officer to complete the preliminary investigation. The follow-up or continuing investigation begins when the preliminary investigation or the activities of the patrol officer reaches a point which demands the special skills and freedom of movement of the investigator.[6]

At the conclusion of the preliminary investigation, the patrol officer recommends whether a case should be "closed," — not assigned to a detective specialist. The recommendation is reviewed by the patrol unit field supervisor, the officer in charge of the responsible investigative unit (or, in COMSEC, the "collator" — an officer who regularly reviews crime reports and disseminates information among the teams) and by the District Commander.

The following guidelines govern when a case

[5]Lieutenant Ray McCarter. "Letter of Transmittal — District Five Investigative Unit," February 12, 1973, Section 2: p. 4.
[6]*Ibid.*, p. 3.

cannot be closed but must receive a follow-up investigation:

1. Any offense in which the perpetrator inflicted serious injury on the complainant or another.
2. Any offense involving a firearm.
3. Any offense when a witness other than the complainant is found.
4. Complainant believes he can identify the perpetrator.
5. Burglaries and robberies of banks and financial institutions, safe crackings or attempted safe crackings, or offenses of a unique or unusual nature.
6. Any offense which has been found related to another offense which is under investigation.
7. Any offense where the complainant was the victim of a similar offense within the last six months.
8. Any offense where property has been taken that is readily identifiable, unique, rare or has a value in excess of $1,000.[7]

4. *Outside evaluators and civilians.* For two years, the Cincinnati Police divison has received over $3.2 million from the Police Foundation to assist in their team policing experiments, and evaluators from The Urban Institute have been hired for over $300,000. Using both city funds and grant funds, the Cincinnati Police Division also has hired several civilian analysts who have been working in the divison's Program Management Bureau.

During the time that the civilians have been working in the division, there has been a free exchange of ideas. The presence of these analysts seems to have encouraged the development of a more analytical approach to management. The survey conducted among police investigators to evaluate the decentralized investigation experiment is one example of the kinds of information which are now being sought before key operational decisions are made.

5. *Task forces as planning tools.* In planning for the implementation of COMSEC, Cincinnati set up a planning task force representing all ranks from captain through patrol officer. Members of the task force consisted of a District Commander (captain), three team leaders (lieutenants), six assistant team leaders (sergeants) and six team members (detective specialists and patrol officers).

The spirit of the COMSEC Task Force effort may best be understood from the following directive to the Task Force:

> Special care must be taken to make certain that the current Police Division procedures, policies, rules and regulations be ignored initially by The Task Force.[8]

The Task Force process is used on a regular basis by the department, and the following subjects in the criminal investigations system have been task force subjects:

- the use of women as investigators
- rape investigations
- shoplifting.

The Chief of Detectives, Lt. Colonel John McLaughlin, believes that these task forces have been "very successful."

6. *Miracode.* A Miracode (Eastman Kodak) microfilm system is used by the department to store information on criminals. Two separate files are kept: (1) sheets containing information on the physical description of criminals, their photographs and their criminal records, and (2) fingerprint cards.

There are 470 sheets of information on each microfilm strip. The strips are sorted by sex of offender, by race for males, and by the height of the offender. From the time the system was inaugurated in September of 1972 through September of 1974, there were 204 searches of Miracode files on the request of members of the department, resulting in four or five successes.

7. *Use of tape recorders for taking statements.* It is routine procedure in Cincinnati for statements of suspects to be recorded on tape either in district stations or central headquarters. People interviewed in the department believe that recorded statement have the following advantages:

- the statements can be replayed to the suspect in case of doubt about what was said,
- the recording can contain the reading to the suspect of his rights,
- there is no need to wait for a stenographer (in fact, a suspect can confess in the privacy of a jail cell if he so desires),
- it is easier to rebut charges of intimidation because voice inflections on the tape would tend to indicate whether coercion was taking place (for increased credibility it is probably best not to stop the tape during the recording of a statement), and

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[7]COMSEC Standard Operating Procedures, "COMSEC District Investigative Duties," page 193.

[8]Memorandum from Carl B. Lind to Colonel Carl Goodin (police chief), October 2, 1972. For further information on the functioning of the COMSEC Task Force, see Peter B. Bloch and David Specht, *Neighborhood Team Policing*, National Institute of Law Enforcement and Criminal Justice, U. S. Government Printing Office (Stock Number 2700-00240), December 1973.

- it is easier for supervisors to determine whether a statement should be used as the basis for multiple case clearances.

The principal disadvantages of using tape are the problems of purchasing and maintaining equipment and of training investigators in its proper use. Tapes also must be stored for a long time and must be protected from theft and alteration.

C. Other Features

To this point, we have discussed several features of the Cincinnati Police Division which gives its investigations system a distinctive flavor. In this section we will discuss some remaining features of the system which, while they are more routine, may have an important impact on the effectiveness of the system as a whole.

1. *Manpower allocation.* The principal factor in developing manpower allocation plans is the allocation for the previous year. Large changes usually occur only with the adoption of major new programs, such as the neighborhood team policing program, or in response to crises — as when the disturbances of the late 1960s led to the formation of an intelligence section.

The division takes into account crime volume and seriousness, estimates the caseload per detective, then modifies its allocations to various units and police districts accordingly. No precise formulas are used at present, but several are under consideration.

2. *Witnesses.* Witness notification and the scheduling of court appearances are not subject to police control. Witnesses are notified of court appearances by subpoenas which are served by the police — sometimes by a civilian Community Service Officer. Occasionally, the police will provide transportation for witnesses to go to court.

Witnesses receive a standard $3 court fee. Police officers who are scheduled to appear in court fill out a "court appearance form," but there is no analagous procedure to schedule cases for the convenience of witnesses.

It is routine practice in Cincinnati to conduct a general interview of witnesses to determine whether their knowledge of crime extends beyond the case that is being investigated. This is generally useful and helps to avoid surprise in court if defense counsel seeks to discredit the witness.

3. *Handling physical evidence.* Evidence is collected by the investigating officer, by a supervisor or (in major cases only) by an expert evidence technician. Initially, property is kept at the police district. Every day, it is forwarded to the division's city-wide property room. Ordinarily, property is not returned to victims until after a trial.

At the present time, there is no routine procedure by which communications personnel inform citizens to preserve evidence of a crime. Hence, the victim of a burglary may occasionally straighten up the premises before a police officer arrives.

4. *Relationship with the prosecutor.* There is no legal advisor who comes to the scene of an incident, and members of the prosecutor's office rarely are called to the scene. An Assistant City Solictor acts as the police legal advisor.

At the present time, the department receives information from the prosecutor concerning the outcome of cases. However, the computer printout containing this information is not useful in managing investigations. To remedy this problem, the Criminal Justice Section of the division's Program Management Bureau — funded by the Police Foundation — intends to develop a usable routine feedback report. The report would go to the Case Information Unit of the Program Management Bureau and be disseminated by that Unit to interested people in the department. At the present time, there is no intention to compile statistics on the prosecutorial success of individual officers, investigators or units.

5. *Investigation not related to specific cases.* Investigators in Cincinnati rely heavily on informants for the solution of cases. Likewise, under all three administrative approaches, regular checks of pawnshops and second-hand stores are performed, either as part of a system or regular checks (the decentralized method and centralized investigative section) or on a case-by-case basis (the partially decentralized method).

The commander of the decentralized district reports an increased flow of information from the general public, and he attributes this to the "COMSEC philosophy," which emphasizes rapport with the community and places more officers on the street.

6. *Training.* In both the decentralized and partially decentralized methods, patrol officers have the opportunity to learn about investigations as part of their job. In the decentralized method, the patrol officer who does investigative work can establish rapport with one or more detectives assigned to his team. This is also possible in the partially decentralized method, but since detectives are assigned to the entire district, it is somewhat harder for a patrol officer to deal with one detective regularly. However, in both methods, the patrol officer's on-the-

scene investigative techniques can be observed and guided or constructively criticized by an investigator.

All newly appointed detective assigned to the Central Investigative Section are trained in the field by experienced investigators. They spend one month training in each of the specialties. Full-time investigators assigned to the other methods receive additional on-the-job training.

All new officers in the decentralized method receive 24 hours of training in investigations. Each year, officers receive three hours of additional in-service training.

In the partially decentralized method of investigations, two sergeants are responsible for overseeing all training needs, including the development of programs and the recommending of individuals for specific training programs.

CHAPTER VII. DEKALB COUNTY, GEORGIA, POLICE DEPARTMENT

A. Introduction

The DeKalb County Police Department is responsible for a large suburban area adjacent to Atlanta, Georgia. Its management is completely centralized, but most operational decisions concerning criminal investigations are made at the lowest administrative level, that of the squad sergeant. The system features:

- highly personal supervision and administration,
- a systematic effort to test out new ideas for managing investigative resources,
- a case screening procedure for burglary investigations, and
- cordial but distant relations with the prosecutor.

The Dekalb County Police Department has jurisdiction over all parts of the county which are not within an incorporated city.[1] This mostly surburban area contains 269 square miles, had a population in the 1970 Census of 415,387, and had an estimated 1973 population of 466,000.

There were 315 Part I offenses per 10,000 residents in the area in 1973, an increase of 39 percent in the crime rate over 1972. A recent study by the police department suggested that a large part of the increase was spillover crime from the city of Atlanta.

DeKalb County has approximately 9 police employees for every 10,000 residents, and about 18 percent of the police force is assigned to criminal investigations (see Table 6).

[1] Part of the city of Atlanta, the town of Decatur, and several smaller towns are within the county's borders.

TABLE 6
BASIC STATISTICS ABOUT THE DEKALB COUNTY POLICE DEPARTMENT
(1973)

POPULATION (1973 estimate)	466,000
AREA[a] (square miles)	269
TOTAL NUMBER OF SWORN PERSONNEL	318
Sworn personnel per 10,000 residents	70
Uniform Crime Offenses[b] per 10,000 residents	315
Uniform Crime Offenses per officer	46
INVESTIGATORS	
Number of sworn personnel assigned to criminal investigation	59
Investigators per 10,000 residents	1
Percent of investigative sworn personnel with supervisory rank	19
Percent of sworn personnel in Department assigned to investigations	16
Percent of all employees assigned to investigations[c]	18
NUMBER OF CIVILIAN EMPLOYEES	89
Percent of total employees	22

[a] Excluding parts of county under jurisdiction of other police departments.
[b] Homicide, forcible rapes, robbery, aggravated assault, burglary, larceny (regardless of amount), and auto theft.
[c] Includes evidence technicians and clerks in the Criminal Investigations Division.

The department is relatively well equipped, with nearly 25 percent of the annual budget going for expenses other than personnel. Most patrolling is in one-officer cars, most detectives have full-time use of a car, and the department has a variety of special vehicles such as helicopters and evidence collection vans. The department also is noted for progressive personnel policies.

The police department is entirely separate from the county sheriff, who manages the county jails, provides court bailiffs, and serves citations in civil cases.

B. Distinctive Features

1. *Division of responsibility and authority.*

a. *Attitude.* The most striking feature of the criminal investigations system in DeKalb County is the prevailing attitude toward the division of responsibility and authority. Although the chain of command, standard procedures, and areas of responsibility are well defined, these are treated as necessary organizational devices to insure that the work is done, rather than as limitations or restrictions. There is a willingness to share information and little jealousy over prerogatives.

Decisions are made at the lowest possible level in the organization. Uniform patrol sergeants and detective squad sergeants have great discretion in setting policies for their units and in overseeing day-to-day operations. Superior officers are used as a resource for assistance and guidance, but most responsibility rests on the shoulders of the sergeants.

b. *Responsibilities of detectives and patrol officers.* Civilian clerks record telephone complaints on a standard form, send these by conveyor belt to dispatchers (who are also civilians), who then notify the patrol cars assigned to the corresponding sectors. The field sergeant on duty monitors the radio at all times, can change the car assignment given by the dispatcher, and usually goes to the scene of a major crime complaint himself. The patrol sergeant decides whether a detective and/or an evidence technician should be called to the scene. The detectives have supplied informal guidelines to the patrol division as to which types of crime scene probably deserve an immediate visit by a detective. The patrol officer stays on the scene as long as necessary to protect it.

All detectives belong to the Criminal Investigations Division (CID), which is organized into squads by crime type.[2] If a detective is not called to the scene by a patrol officer, then the CID first learns about a crime when incident reports are picked up each morning. National Crime Information Center (NCIC) queries, as appropriate, will have already been performed by the central records unit, and the response printouts will be attached to the incident reports.

All cases are investigated by detectives, except for those meeting the new burglary case screening criteria (described in section 3, below) and a few others with very low chance of success, such as obscene phone calls which have not been traced by the telephone company.

c. *Responsibilities of the detective squad sergeant.* Each squad sergeant in the CID supervises 4 to 10 investigators. The sergeant keeps track of the progress on every case and the workload of every officer under him.

Each case is assigned to a single detective, based on current workload and special talents or interest. Investigators frequently discuss ideas with their sergeant, with other people in their squad, and sometimes with investigators from other units. They also frequently help out on the cases of others and pass along information which they think may be useful to another detective. This willingness to share is felt to exist because the division does not evaluate investigators by individual clearance rates. Instead, the division feels that each squad sergeant knows enough about the work of each person in his unit to evaluate performance.

The decision to arrest a suspect and to send a case for prosecution rests on the detective responsible for a case, in consultation with his squad sergeant. The sergeant may choose to consult with superior officers, the legal advisor, or the prosecutor's office before making an arrest, but he need not do so. The police will normally arrest a suspect as soon as they feel they have a case against him. It is rare for an arrest to be postponed in the hopes of obtaining information on other criminals, except possibly in narcotics cases.

Unsolved cases are rarely closed, although a detective squad sergeant may decide not to work on a case until further information becomes available.

d. *Coordination.* Since each type of crime falls under the responsibility of one detective squad, which has countywide responsibility, coordination within most criminal investigations merely involves

[2]Major Crimes, Burglary, Auto Theft, Narcotics. A special Investigations Unit helps on any crime as needed. There is also a Youth Crimes Unit, a small General Investigation Unit and a Polygraph Unit.

discussion within the informal confines of the unit. Squads will ask other units to be alert for particular kinds of information, especially if they have reason to believe their suspect has been involved with some other type of crime.

The Special Investigations Unit handles most crime calls during the night shift. The sergeant of this unit is responsible for coordinating its work with that of other units, and members of the unit are often called on to help with investigation of cases from other units.

Generally, the CID makes a point to foster good relations with the patrol division. New detectives are taught that "the best informer is the man in uniform." Both CID and patrol division officials feel that communication and cooperation between the two groups are generally satisfactory, although some detectives feel that incident reports filed by patrol officers are too often incomplete or inaccurate.

e. *Incentives.* The CID believes that the individuals chosen to be detectives are highly motivated to do a good job, and their main incentive is satisfaction from doing their work well. Detectives are seen, throughout the department, as people who put in a lot of unpaid overtime and work very hard, but have high morale. Detectives retain the patrol officer rank and get no salary increment, other than a clothing allowance. Detectives are allowed, however, to grow their hair a little longer, and most are assigned a car for their own use. A form of punishment for a detective is to take his car away.

There is a widespread feeling that detectives have an advantage in getting promotions, not through favoritism but because a person with investigative experience is better prepared to pass the examination.

Detectives who win promotion to sergeant frequently receive assignments to patrol rather than the CID. As a result, some of the best detective units have a fairly high turnover of personnel.

2. *Research and analysis.* The chief's staff includes a full-time, two-person planning unit which performs research and analysis projects. This unit did a detailed analysis of the operations of the CID, early in 1974, and made a number of recommendations for improvement. One recommendation resulted in the burglary case screening project which is described in the next section. A second project being developed is an experiment on different ways of assigning evidence technicians to work with detectives.

The planning unit apparently is considered effective and helpful. The key features in its success appear to be strong support by the chief and the non-threatening, cooperative approach of the analysts.

3. *Screening procedures for burglary cases.* The burglary case screening project was initiated primarily to reduce the amount of paper work required of the burglary squad. When the burglary rate rose to more than 60 cases per investigator per month, the details of processing the cases left little time for investigation. The screening procedure, adopted July 15, 1974, is intended to single out cases with low probability of solution, so that investigators can concentrate on the rest.

As the procedure has been initiated, the burglary unit commander, or his second in command, reviews each incident report for "solvability factors" — basically, whether there appear to be leads worth pursuing. The section captain reviews cases rejected for insufficient solvability, and if he approves, the case will be made inactive. In that case, a form letter is mailed to the victim, informing him that the police cannot proceed on the case unless more information is received. The file remains inactive until more information happens to come in or until the victim makes an inquiry about the case.

For quality control, the commander of the CID performs spot check reviews of the inactive files.

The original objective was to increase the burglary clearance rate from 18 percent to around 30 percent. Initial indications are that over 30 percent of the cases which pass the screening step can be solved, but the overall clearance rate has not increased as desired, partly because the case load has continued to rise rapidly.

The commander of the CID is considering adopting similar screening systems for other cases, such as anonymous phone calls, threats, exhibitionists, and auto thefts. He feels there is a need for careful planning before applying such a system, because if it doesn't work out, considerable time and effort will be needed to repair the damage.

4. *Relationship with the prosecutor.* The central records unit attaches to the front of each case file going to prosecutor, a form to be returned when the disposition has been determined. The returned forms are sent to the CID unit which investigated the case. Squad sergeants may use these as they choose in supervising their units. Clearance statistics are not directly used in management decisions. The case disposition information and some instruction given to the police academy constitute the bulk of feedback from the district attorney's office to the police department. Neither the district attorney nor

the department feel an important need for greater interaction.

There is relatively little direct interaction between the district attorney's office and the police department. The prosecutors normally first learn of cases when a suspect is arrested. Soon after an arrest, the police department sends a supplemental summary report and a copy of the case file to the district attorney. On occasion the district attorney will ask the police department to perform additional investigation on a case, but generally the prosecution is based solely on what the police provide in the supplemental report and case file.

The police also avoid involvement in any form of plea bargaining. If there is evidence for multiple charges against a suspect, the department presents each case to the prosecutor.

C. Other Features

To this point, we have discussed features of the DeKalb County Police Department which give its investigation system a distinctive flavor. In this section are discussed other features of the system which, while more routine, may have an important impact on the effectiveness of the system as a whole.

1. *Allocation of resources.* Allocation each year is based mainly on caseload and "experience built up over the years." Budgeting for separate police functions (patrol, investigations, etc.) is done separately, without considering the possibility of expanding one function by cutting back on another.

2. *Witnesses.* A detective, upon arriving at a crime scene, will normally talk to the patrol officer first to avoid asking witnesses the same questions over again.

Witnesses are notified of the need to appear in court by subpoenas which are mailed out from the district attorney's office. Witnesses are usually not asked their preference for court dates or times; nor are they contacted by either the police or the district attorney before a case goes to trial — or, for those that are to appear before the grand jury, before their appearance. If a witness doesn't show up for a trial, the prosecutor asks for a continuance and either sends one of the investigators on his staff or asks the police to look for the witness. During an investigation, detectives often mention to a witness that he will be notified by subpoena, so it doesn't come as a surprise.

Occasionally, the district attorney will schedule court appearances to meet the convenience of out-of-town witnesses. Witnesses such as doctors and off-duty police officers may be put on call when their case is expected to come up, and then notified an hour or so before they need to appear. Witness fees are paid only to off-duty police officers and to those who must come from outside the county.

The department normally does not notify victims and witnesses when they stop working on a case. Exceptions occur in the burglary case screening procedures and in murder cases — since the police keep in close contact with the family.

3. *Handling physical evidence.* The general rule is that evidence technicians — who are civilians — collect all physical evidence at crime scenes. It is kept by the Identification Unit of the Services Division until it is used in a trial or returned to the owner.

Extensive photographs are taken of crime scenes and of recovered property. The police find these photographs useful in generating ideas for solving a crime. They also can be used as evidence in court, if there is a need to return recovered property to its owner. In murder cases, the technicians take a few polaroid shots so that some pictures will be available to the medical examiner in case the regular proofs are not ready in time.

4. *Investigation not related to specific cases.* Developing information independent of specific cases is done mostly by the narcotics unit and the intelligence squad (which is part of the chief's staff and looks at organized crime). There are very few pawnshops in the county, but the investigators will sometimes go to the city of Atlanta to check pawnshops there. The department also has a small amount of money set aside for buying information.

5. *Training.* In addition to operating its own police academy for cadets, the department tries to provide in-service training for all officers, with a goal of 40 hours per person per year. Officers are encouraged to request participation in relevant courses offered around the country.

Initial training for a detective comes from working with a more experienced detective. Sometimes, the unit commander will call a short seminar on new investigative methods or legal issues. During the course of the year, every detective will probably attend one short course in advanced methods somewhere in the country.

CHAPTER VIII. ROCHESTER, NEW YORK, POLICE DEPARTMENT

A. Introduction

Rochester, New York, is a moderate size city with a high crime rate. Its police department is characterized by a willingness to acknowledge operating problems and to move to correct them. The department is developing and testing innovations in the following areas related to investigations:

- decentralization of detectives,
- preliminary investigative procedures,
- obtaining information from the community,
- follow-up investigations,
- relationship with the prosecutor, and
- merit promotions for detectives.

Rochester has 22 sworn officers for every 10,000 residents. Twenty-one percent of the officers are detectives, uniformed personnel with investigative assignments, or supervisors of these personnel (see Table 7). Forty-four percent of the line personnel assigned to centralized investigative units have the rank of "officer" rather than the rank of detective.

TABLE 7

BASIC STATISTICS ABOUT ROCHESTER, ITS POLICE DEPARTMENT AND ITS INVESTIGATORS
(1973)

POPULATION (1970 Census)	296,233
AREA (square miles)	37
TOTAL NUMBER OF SWORN PERSONNEL	641
Sworn personnel per 10,000 residents	22
Uniform Crime Offenses[a] per 10,000 residents	750
Uniform Crime Offenses per officer	35
NUMBER OF DETECTIVES[b]	144
Detectives per 10,000 residents	5
Percent of total sworn personnel	22
NUMBER OF DETECTIVES AND SUPERVISORS ASSIGNED TO CENTRALLY LOCATED INVESTIGATIONS UNITS	117
Percent of supervisory rank (sergeant or above)[c]	27
Percent of detectives and supervisors assigned to centrally located investigations units	81
Percent of sworn personnel assigned to the centrally located investigations units	11
Number of civilian employees	119
Percent of total employees	16

[a] Homicide, rape, robbery, aggravated assault, burglary, larceny (regardless of amount) and auto theft.

[b] Includes detective grades A, B and C, uniformed personnel assigned to centralized investigations units and supervisors assigned to centralized units. Also includes a similar percentage of uniformed personnel and supervisors for support and supervision of detectives assigned to police districts. SOURCE: Operating Budget for Rochester, New York (1974-75).

[c] Fifty-nine percent of the supervisory employees are Detective-Grade A, a rank with pay that is 7.5 percent higher than sergeants.

B. Distinctive Features

1. *Acknowledging problems.* An outstanding feature of the Rochester Police Department is its ability to face its problems and admit them, both externally and internally. For example, the department stated in a grant application submitted to the Police Foundation:

> Little is known about the actual investigative process used by the detective, since it is apparent that he usually adopts his own style. There are few departmental procedures concerning investigations and the existing form for reporting the results of an investigation is a simple, open-ended document. Often the detective does little more than duplicate the preliminary investigation, either because he lacks confidence in the quality of the investigation or because he knows of little else to do . . . .
>
> Within this overall context, there are a number of specific investigatory issues that it is felt need review and clarification. Among them is the *issue of communication* among preliminary investigators, follow-up investigators, and witnesses/victims. At present, there is little communication among these parties and one can only project how the investigative process can be improved if the capability for on-going communication among these parties is available.

Once the department's administrators recognized these problems, they sought outside assistance from the Police Foundation in order to study the problems in depth and to design appropriate remedies. Early on, the department recognized a need to develop a new preliminary report form for the systematic recording of investigative information. The form was designed to require officers to indicate information they had gathered and the investigative steps they had undertaken. This was seen as a way of reducing unnecessary duplication by follow-up investigators.

In addition, the department recognized a need for *systematic observation* of the way in which investigations were being conducted in the field. The first observations concentrated on preliminary investigations. Several detectives rode in police cars and observed the preliminary investigative techniques that were actually in use. Since these observers were potentially threatening to the officers being observed, every effort was made to ensure that individual officers would not in any way be disciplined or criticized for their work. As time passed, it became clear to the patrol officers that the department sincerely intended to improve itself through the observation program, not to criticize individual officers.

2. *Decentralization of detectives.* Rochester has established three Coordinated Team Patrol units, each with approximately forty team members, responsible for an area of approximately 29,000 residents. Forty percent of the patrol personnel and 19 percent of the investigative personnel now are assigned to teams. Formerly, all detectives were assigned to specialized squads located in central police headquarters.

The detectives and plainclothes officers in each team are responsible to the team commander, a patrol lieutenant. The principal purpose for assigning detectives to work with teams is to improve communciation and coordination between patrol officers and investigators. A secondary purpose is to increase the familiarity of detectives with neighborhood problems, including the types of crimes being committed and the persons who are suspected of regular criminal activity.

An evaluation of this decentralization program is being conducted by The Urban Institute, with funds provided by the Police Foundation. Preliminary results from this evaluation indicate:

- Team members who were in the department both before and during the use of teams increased their robbery arrests during a one year period from a total of 34 to 159 (over four times) and their burglary arrests from a total of 129 to 372 (about three times). By contrast, comparision officers increased their arrests by a smaller margin.
- The clearance rate[1] for burglary and for larceny (excluding shoplifting) is currently higher in both[2] team areas than in the rest of the city. The teams' clearance rates for burglary (36 percent and 49 percent) are particularly noteworthy.
- There currently is no difference due to the team program in the percentage of arrests dismissed by the prosecutor without a prosecution. (Sixty percent of the 52 arrests studied did not result in prosecutions.)

A continuing evaluation has discovered that the increase in arrest is primarily due to "prime arrests" — arrests which require some investigation and are not made at the scene of the crime. A continuing study is looking at the kinds of information which

[1] Clearances are defined to include multiple clearances resulting from a single arrest.

[2] Most of the evaluation has concentrated on two of the teams.

teams collect — a possible cause for this record of achievement.

Evaluation results are so encouraging that the department is proceeding with plans to decentralize the entire department, assigning most detectives to teams. A core of detectives will be reserved at central headquarters for dealing with lengthy, complex or citywide investigations and to serve as consultants to team-based investigators.

3. *Improving preliminary investigations.* The project designed to improve preliminary investigations, mentioned above in section B.1, had the following results:

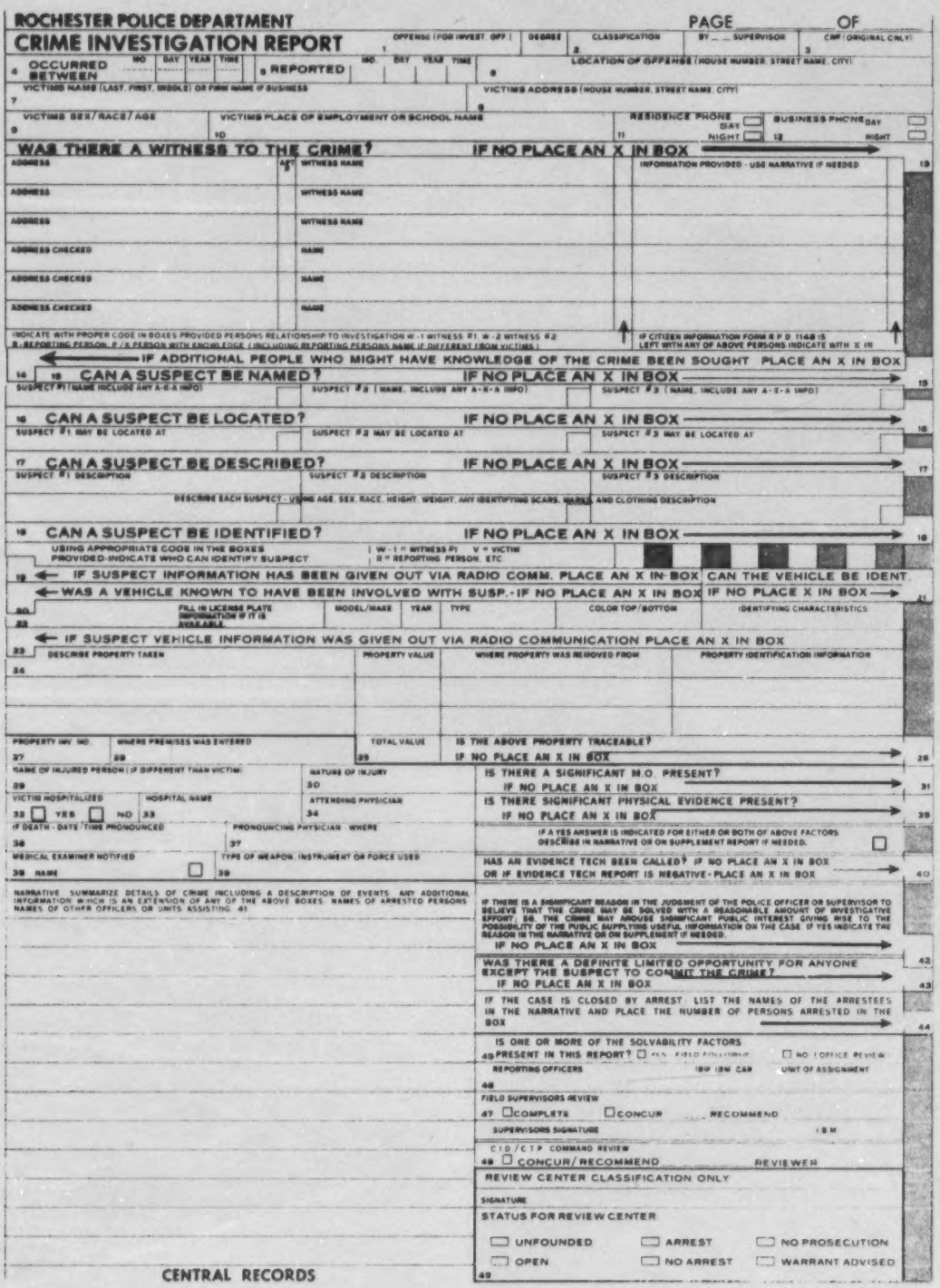
- development of a new reporting form to be used during preliminary investigations;
- development of a training manual for use in training officers how to use the new forms and how, generally, to improve their investigative methods; and
- production of a videotape for use in showing officers how the new form can be used and for explaining its advantages.

a. *New reporting form.* The new preliminary report form (see Figure 1) was developed by identifying items of information which should be obtained during a preliminary investigation and by arranging those items in the logical sequence for obtaining them. The form requires the officer to indicate whether he has been able to identify specific "solvability factors" — items of information which might lead to the solution of the case. By asking the officer to check a box if he *cannot* identify a particular factor, the form requires the officer to go through a mental checklist of the items he should look for. If a particular box is *not* checked, then the officer must give a justification for not doing so.

The new reporting form makes it easier for a reviewing officer to decide whether a case should have a follow-up investigation. If any of the twelve solvability factors (lines 13, 15, 16, 17, 18, 21, 26, 31, 35, 40, 42, or 43) is present — if any of those boxes do *not* have an "X" in them — then a follow-up is indicated, and the box for "yes" (field follow-up) in item 45 is to be checked. Every report must be signed by a field supervisor, indicating his satisfaction with the report and his concurrence with the officer's classification of the case. If the supervisor does not concur with the classification, he must explain his reasons for nonconcurrence.

Under the Rochester guidelines, any case will be assigned for a follow-up field investigation if there is a significant piece of information which may be a lead to apprehending the perpetrator. In addition, if "the crime may arouse significant public interest," then a field investigation is undertaken even without a specific lead.

FIGURE 1: Crime Investigation Report



ROCHESTER POLICE DEPARTMENT

PAGE ___ OF ___

CRIME INVESTIGATION REPORT

OFFENSE (FOR INVEST. OFF.) 1 | DEGREE | CLASSIFICATION 2 | BY ___ SUPERVISOR | CRF (ORIGINAL ONLY) 3

4 OCCURRED BETWEEN NO. DAY YEAR TIME | 5 REPORTED NO. DAY YEAR TIME | 6 LOCATION OF OFFENSE (HOUSE NUMBER, STREET NAME, CITY)

7 VICTIM'S NAME (LAST, FIRST, MIDDLE) OR FIRM NAME IF BUSINESS | 8 VICTIM'S ADDRESS (HOUSE NUMBER, STREET NAME, CITY)

9 VICTIM'S SEX/RACE/AGE | 10 VICTIM'S PLACE OF EMPLOYMENT OR SCHOOL NAME | 11 RESIDENCE PHONE DAY ☐ NIGHT ☐ | 12 BUSINESS PHONE DAY ☐ NIGHT ☐

WAS THERE A WITNESS TO THE CRIME? IF NO PLACE AN X IN BOX →

ADDRESS	ACT	WITNESS NAME	INFORMATION PROVIDED - USE NARRATIVE IF NEEDED 13
ADDRESS		WITNESS NAME	
ADDRESS		WITNESS NAME	
ADDRESS CHECKED		NAME	
ADDRESS CHECKED		NAME	
ADDRESS CHECKED		NAME	

INDICATE WITH PROPER CODE IN BOXES PROVIDED PERSONS RELATIONSHIP TO INVESTIGATION W - 1 WITNESS #1 W - 2 WITNESS #2 R - REPORTING PERSON P / S PERSON WITH KNOWLEDGE (INCLUDING REPORTING PERSONS NAME IF DIFFERENT FROM VICTIM'S)

IF CITIZEN INFORMATION FORM R.P.D. 1148.15 LEFT WITH ANY OF ABOVE PERSONS INDICATE WITH X IN

← IF ADDITIONAL PEOPLE WHO MIGHT HAVE KNOWLEDGE OF THE CRIME BEEN SOUGHT PLACE AN X IN BOX

14 15 CAN A SUSPECT BE NAMED? IF NO PLACE AN X IN BOX →

SUSPECT #1 (NAME INCLUDE ANY A-K-A INFO) | SUSPECT #2 (NAME, INCLUDE ANY A-K-A INFO) | SUSPECT #3 (NAME, INCLUDE ANY A-K-A INFO) 15

16 CAN A SUSPECT BE LOCATED? IF NO PLACE AN X IN BOX →

SUSPECT #1 MAY BE LOCATED AT | SUSPECT #2 MAY BE LOCATED AT | SUSPECT #3 MAY BE LOCATED AT 16

17 CAN A SUSPECT BE DESCRIBED? IF NO PLACE AN X IN BOX →

SUSPECT #1 DESCRIPTION | SUSPECT #2 DESCRIPTION | SUSPECT #3 DESCRIPTION 17

DESCRIBE EACH SUSPECT - USING AGE, SEX, RACE, HEIGHT, WEIGHT, ANY IDENTIFYING SCARS, MARKS AND CLOTHING DESCRIPTION

18 CAN A SUSPECT BE IDENTIFIED? IF NO PLACE AN X IN BOX → 18

USING APPROPRIATE CODE IN THE BOXES PROVIDED-INDICATE WHO CAN IDENTIFY SUSPECT | W - 1 = WITNESS #1 V = VICTIM R = REPORTING PERSON, ETC

19 ← IF SUSPECT INFORMATION HAS BEEN GIVEN OUT VIA RADIO COMM. PLACE AN X IN BOX CAN THE VEHICLE BE IDENT.

← WAS A VEHICLE KNOWN TO HAVE BEEN INVOLVED WITH SUSP. - IF NO PLACE AN X IN BOX IF NO PLACE X IN BOX →

20 FILL IN LICENSE PLATE INFORMATION IF IT IS AVAILABLE 23	MODEL/MAKE	YEAR	TYPE	COLOR TOP/BOTTOM	IDENTIFYING CHARACTERISTICS 21

← IF SUSPECT VEHICLE INFORMATION WAS GIVEN OUT VIA RADIO COMMUNICATION PLACE AN X IN BOX

22 DESCRIBE PROPERTY TAKEN 24	PROPERTY VALUE	WHERE PROPERTY WAS REMOVED FROM	PROPERTY IDENTIFICATION INFORMATION

PROPERTY INV. NO. 27	WHERE PREMISES WAS ENTERED 28	TOTAL VALUE 25	IS THE ABOVE PROPERTY TRACEABLE? IF NO PLACE AN X IN BOX → 26

NAME OF INJURED PERSON (IF DIFFERENT THAN VICTIM) 29	NATURE OF INJURY 30	IS THERE A SIGNIFICANT M.O. PRESENT? IF NO PLACE AN X IN BOX → 31
VICTIM HOSPITALIZED 32 ☐ YES ☐ NO	HOSPITAL NAME 33	ATTENDING PHYSICIAN 34	IS THERE SIGNIFICANT PHYSICAL EVIDENCE PRESENT? IF NO PLACE AN X IN BOX → 35
IF DEATH - DATE / TIME PRONOUNCED 36	PRONOUNCING PHYSICIAN - WHERE 37	IF A YES ANSWER IS INDICATED FOR EITHER OR BOTH OF ABOVE FACTORS DESCRIBE IN NARRATIVE OR ON SUPPLEMENT REPORT IF NEEDED. ☐
MEDICAL EXAMINER NOTIFIED 38 NAME ☐	TYPE OF WEAPON, INSTRUMENT OR FORCE USED 39	HAS AN EVIDENCE TECH BEEN CALLED? IF NO PLACE AN X IN BOX OR IF EVIDENCE TECH REPORT IS NEGATIVE - PLACE AN X IN BOX → 40

NARRATIVE SUMMARIZE DETAILS OF CRIME INCLUDING A DESCRIPTION OF EVENTS, ANY ADDITIONAL INFORMATION WHICH IS AN EXTENSION OF ANY OF THE ABOVE BOXES, NAMES OF ARRESTED PERSONS, NAMES OF OTHER OFFICERS OR UNITS ASSISTING. 41

IF THERE IS A SIGNIFICANT REASON IN THE JUDGEMENT OF THE POLICE OFFICER OR SUPERVISOR TO BELIEVE THAT THE CRIME MAY BE SOLVED WITH A REASONABLE AMOUNT OF INVESTIGATIVE EFFORT, 58. THE CRIME MAY AROUSE SIGNIFICANT PUBLIC INTEREST GIVING RISE TO THE POSSIBILITY OF THE PUBLIC SUPPLYING USEFUL INFORMATION ON THE CASE. IF YES INDICATE THE REASON IN THE NARRATIVE OR ON SUPPLEMENT IF NEEDED.
IF NO PLACE AN X IN BOX →

WAS THERE A DEFINITE LIMITED OPPORTUNITY FOR ANYONE EXCEPT THE SUSPECT TO COMMIT THE CRIME? 42
IF NO PLACE AN X IN BOX 43

IF THE CASE IS CLOSED BY ARREST LIST THE NAMES OF THE ARRESTEES IN THE NARRATIVE AND PLACE THE NUMBER OF PERSONS ARRESTED IN THE BOX → 44

IS ONE OR MORE OF THE SOLVABILITY FACTORS 45 PRESENT IN THIS REPORT? ☐ YES FIELD FOLLOW-UP ☐ NO OFFICE REVIEW

REPORTING OFFICERS 46 | I.D.# | I.D.# CAR | UNIT OF ASSIGNMENT

FIELD SUPERVISORS REVIEW
47 ☐ COMPLETE ☐ CONCUR ___ RECOMMEND
SUPERVISORS SIGNATURE | I.D.#

C.I.D. / C.T.P. COMMAND REVIEW
48 ☐ CONCUR / RECOMMEND REVIEWER

REVIEW CENTER CLASSIFICATION ONLY
SIGNATURE
STATUS FOR REVIEW CENTER
☐ UNFOUNDED ☐ ARREST ☐ NO PROSECUTION
☐ OPEN ☐ NO ARREST ☐ WARRANT ADVISED
49

CENTRAL RECORDS

b. *Training manual: Field observation.* Perhaps the single most significant aspect of the observation program is that it showed the police department's managers what actually happens in the field, as contrasted to what department orders say should happen in the field.

The analysis of field observations concentrated on three areas: (1) how officers develop a description of the premises involved in the crime, (2) investigative techniques used, and (3) suggestions by the observers concerning the handling of the investigation. The observers' notes were compared to the general report form and supplement reports filed for the case.

Since only forty incidents were observed for the preliminary analysis from which the training manual was developed, its validity depends on the soundness of the judgment of the observers and the analyst rather than on quantitative analysis. Although the conclusions from such a study may differ widely in different departments, the following results from the Rochester study may indicate the potential importance of such a study in any department:

> In general, the observers found that the officers who were observed were only describing the incident as it was presented by the witness and/or complainant and they were not detailing the investigative procedures that were used. In reading some of the general reports, it appeared that there were many voids in the investigation and that more time should have been spent on the case. For example, it was not always clear whether witnesses had been identified and in some cases, the observers, in their reports of the investigations, mentioned that the officers had interviewed witnesses but these witnesses were not identified on the general report.[3] This omission lessens the usefulness of the general report in follow-up investigations. While the observers felt that the officers generally established good rapport with persons they interviewed, they did feel that the officers should spend more time in trying to locate witnesses and that youths should not be excluded as possible witnesses because of their age.
>
> If a suspect were identified, the description was seldom given out via the radio and traceable property was usually not adequately identified, e.g., serial numbers were not obtained, identifying characteristics were not described. The observers also found that seldom was the area where the incident occurred searched for stolen property or for implements used in the commission of the offense.
>
> Little attention was given to determining motives that may have been behind the commission of the offense. For example, seldom did the officer ask the witness and/or complainant if they might know of anyone who would have committed the offense or did they spend much time in following through on circumstances that the observers felt could have provided reliable information to the investigation.
>
> There frequently appeared to be problems in the interaction between officers and detectives. The detectives began their investigation before they talked to the reporting officers and usually asked the same questions that had been asked by the officers.
>
> The observers did find that some officers were doing a thorough job in investigations and commented that they felt the thoroughness of an investigation depended more on the officer than on the circumstances surrounding the incident.[4]

In response to these observations, the department developed a manual to guide the officer in his conduct during preliminary investigations. The following is an excerpt from that manual:

> In his search for the presence of solvability factors, the officer employs several investigative techniques — many of which the detective-observers found to be effectively used by the officers they observed making preliminary investigations. Some of those techniques are detailed here so that officers can be exposed to one another's techniques in the hopes that the sharing of these will improve the investigative process.
>
> Interviewing the Victim/Complainant. Before asking about the specifics of what happened, calm the victim, establish a good rapport, ask for a general description of what happened, then get the detailed information regarding the offense.
>
> It is important to fully describe the missing traceable property. Obtain the color, the

[3]Note that this observation could not be made merely by studying general reports. It required systematic field observation.

[4]Study of Investigative Effectiveness, Part I: Observations of Preliminary Investigations, pp. 25-27 (unpublished typed manuscript prepared by the Rochester Police Department).

make, the model, serial numbers, identifying marks, etc. This detailed identification may lead to the closing of the case.

Ask if the victim/complainant might have ideas as to who might have committed the offense or what the motives may have been.

Identifying Witnesses. Don't exclude any person from being a potential witness. Young people sometimes have a wealth of information and if handled properly, they might be valuable witnesses.

Spend time looking for possible witnesses. Check the neighborhood — adjacent buildings, the street, etc. Don't ask if they have seen anything suspicious. Give them something more definite to respond to — some type of activity they may have witnessed but not thought of as being suspicious.

Be sure to record enough information about the person on the crime investigation report so that they can be contacted at a later time, if so needed. The information obtained from the witness should be detailed on the report so that follow-up investigators will not have to cover the same ground and so that they can decide which witness to contact if they feel the information obtained needs to be further investigated.

Witnesses should be interviewed individually and never in front of a suspect.

If descriptions given by persons interviewed differ, question them until you have obtained what you feel is an accurate description of what happened.

Identifying Suspects. When getting a description of the suspect, ask direct questions, i.e., hair style, complexion, outstanding physical characteristics. Begin with questions about the suspect's head and work down, following with questions about the clothing the suspect was wearing.

Give out suspect and/or vehicle descriptions via radio communication.

Driving the victim around the area might help in locating the suspect in some instances.

If possible, let the victim look through a mug shot book for possible identification of the suspect.

Searching the Scene for Evidence. Try to locate the point of entry used by the suspect.

Search the area for evidence that might be associated with the offense, i.e., implements used, stolen property that was dropped, personal effects of the suspect, footprints.

If a detective arrives on the scene, brief him on what has taken place and what has been done in the investigation.

If a technician arrives, tell him what you need to have done.

Completing the Investigation. Make sure you have given a complete picture of your investigation and that you have completed the crime investigation report.

Leave the Citizen Information Form and explain its use to the victim.

Advise the victim as to where the investigation stands. Don't leave the victim with the idea that the property will definitely be recovered or that the perpetrators will definitely be apprehended.

Give suggestions for preventive action that the victim might take.

4. *Obtaining information from the community.* Because of the department's concern about increasing the flow of useful information from the community, it has developed a business card (Figure 2), which indicates the patrol officer's name, unit designation, and personal identifying number, as well as the case number (so that information subsequently supplied can be included in the case file). A special telephone extension has been established for calls concerning additional information on cases. Training is being given to personnel answering the extension. (Initially, citizens calling the suggested extension experienced some difficulty in being referred to the proper section of the department.)

ROCHESTER

POLICE DEPARTMENT

INVESTIGATING OFFICER

UNIT _____ I.B.M. _____

232-3311	232-7070
EMERGENCY TELEPHONE	BUSINESS TELEPHONE

CITIZEN INFORMATION FORM

IF YOU COME UPON OR THINK OF ANY NEW FACTS THAT WOULD HELP US INVESTIGATE THE CRIME BELOW, CALL: 232-7070 EXT. 308

TELL THE PERSON ANSWERING THAT YOU HAVE INFORMATION ON CASE NO.:

CRIME _____ DATE _____

LOCATION _____

Figure 2. Rochester Police Department business card

5. *Follow-up investigations.* Under a continuation grant from the Police Foundation, the department is organizing a study of follow-up investigations. An observational technique, similar to that used for preliminary investigations, will be employed. The intention is to develop a follow-up investigation form to assure that the follow-up is coordinated with the preliminary investigation, to encourage thorough follow-up investigations, and to assure that all relevant information is recorded so that unnecessary duplication is avoided.

As part of this study, the department will be working with The Urban Institute to develop a continuing system to measure investigative effectiveness. The data system will indicate the kinds of information collected at each stage of the investigative process, whether the information is used to recover stolen property, who recovers stolen property, and success in prosecuting suspects who are apprehended. The system will be used to evaluate the preliminary investigation form already in use, the citywide expansion of decentralized investigations, and specific actions adopted to improve follow-up investigations. In addition, effectiveness measures will be compiled for each team, for each unit of investigators and, ultimately, for each investigator. These measures will be used to assess the effectiveness of different commanders and to design training programs to increase effectiveness.

6. *Relationship to the prosecutor.* For years, there was no formal relationship between the Chief of Police and the District Attorney's office. All transactions occurred on a case-by-case basis, usually between individual investigators and individual assistant district attorneys.

Coordination with the prosecutor's office rarely begins until arraignment is sought for a suspect. Prosecutors are available to the department around the clock on a short-notice basis, usually to answer telephone questions about search legalities.

Because successful prosecutions are an important goal of the investigative process, and because successful prosecutions depend on thorough investigations, the police department and the prosecutor's office have decided to establish a formal relationship. The principal purpose of the process is for each agency to provide the other with information which will improve its operations. The prosecutor can indicate problems in the way cases have been investigated or in how the investigative process is organized. The police can indicate problems with the way individual assistant district attorneys have handled cases. Both agencies can recommend procedures which will improve the system from the standpoint of the public.

In the first meeting with the prosecutor, held in June 1974, the police department agreed to designate one of the arresting officers as the "coordinator" for that arrest, thereby facilitating communication with the prosecutor.

Furthermore, it was agreed that only one of the participating or arresting officers would need to appear before a grand jury in most cases and the designation of that officer could be made by a unit commander in the police department.

A discussion was held about the advisability of convening a second grand jury. A procedure was established for the police to inquire why cases have not come up for trial if four months have passed since an arrest. It was agreed that offenders who have committed multiple offenses would have more than one case prepared against them for presentation to

the grand jury (contrary to prior practice in which only one case was prepared).

The first meeting also discussed the need for the district attorney's office to work with police property personnel in developing a new policy for returning stolen property to its owner.

7. *Merit promotions.* Up to the present, promotions to the detective ranks have been discretionary, with no civil service examination and no objective selection criteria. Recently, the Civil Service Commission for the City of Rochester objected to this system as a violation of the civil service regulations and the department is developing selection criteria. A job analysis of the detective position is being conducted in preparation for designing performance measures. The department is convinced that, at present, there is no valid examination for selecting detectives.

C. Other Features

To this point, we have discussed some features of the Rochester department which give its system of managing investigations a distinctive flavor. In this section, we will discuss some remaining features which may have an important impact on the effectiveness of the system as a whole.

1. *Allocation of resources.* The method of allocating resources among different investigative units is primarily traditional. Changes in allocations are made on a case-by-case basis.

In the near future, in conjunction with the decentralization of the investigative function, investigators will be distributed among police teams, in accordance with workload statistics for those teams. Decisions will be made concerning the number of investigators needed in centralized units because of the complexity of the cases (e.g., homicide investigations) or because of the need to retain a centralized capacity to deal with citywide crime patterns.

2. *Usual procedures in an investigation.* Telephone personnel receiving crime reports record the nature of the crime, its location, and the caller's name and address. This information is given to a dispatcher, who transmits it to a patrol car, usually one in whose territory the offense is reported. For major crimes or potentially dangerous situations, other officers may be directed to assist on the call for service. In the event that a crime seems to have been committed, the officer assigned to the call performs a preliminary investigation and files a preliminary investigation report.

The general order relating to preliminary investigations stresses that "common sense and good police judgment are required to determine the amount of time and character of the inquiry appropriate in each case."[5] The department's training manual provides further that a productive preliminary investigation should:

1. Determine whether a crime has been committed, and if so, what crime.
2. Identify who the victim was.
3. Determine when and where the crime occurred.
4. Determine what solvability factors are present.
5. Serve as the basis for deciding whether additional investigative efforts should be dedicated to the case and whether there is a reasonable chance for case solution.[6]

Plainclothes investigative specialists may be called to serious offenses (e.g., homicide, bank robbery, etc.) or in-progress situations, but in most cases the uniformed officer completes the preliminary investigation and forwards the report to plainclothes officers.

Evidence technicians assess the crime scene in major crimes, including some larcenies, burglaries, robberies, aggravated assaults, and homicides. The technicians may informally communicate their findings directly to preliminary investigators at the scene, but often they arrive at the scene after the preliminary investigator has departed. In any case, a "Technician's Evidence Report" is forwarded to follow-up specialists.

The decision to follow up a preliminary investigation or to close the case is made by the patrol officer and his supervisor. With the department-wide introduction of the new "Preliminary Investigation Report," a larger share of this decision shifts to the patrol officer.

Information about vehicles is obtained using the local computer capability on tapes supplied by the State Department of Motor Vehicles. Wants and warrants can be retrieved quickly and transmitted by radio; more thorough scans — for example correlating characteristics such as color and a partial license plate number — require more time and are printed out.

The follow-up investigator decides whether to arrest and charge a suspect, to clear other cases (multiple clearances) in which a suspect is thought to be involved, or to place a case in an inactive status. These decisions may be monitored by supervisors,

[5]General Order 73-15, December 6, 1973, Rochester Police Department, p. 2.

[6]City of Rochester Police Department, *The Preliminary Investigation Process Training Manual*, pp. 1-2.

but the amont and type of monitoring varies from one supervisor to another.

The decision to terminate an active investigation is not generally communicated to other sections or divisions within the department, the victim, or the prosecutor.

3. *Witnesses.* If a case goes beyond the preliminary stage, witnesses are apt to be questioned at least three times. The preliminary investigators seek out witnesses and interview them on the scene. Technical specialists often interview the victim or key witnesses to help identify the physical evidence. Follow-up investigators re-interview witnesses in order to add to their knowledge of the witnesses' perceptions. If a suspect is apprehended, the witnesses will probably be called into headquarters to make an identification of the arrestee.

In addition, the prosecutors question the citizen at least once before he is asked to testify in open court and, if the case involves a felony, he may be re-examined prior to the grand jury hearing.

The scheduling of trials does not normally consider the availability of citizen or police witnesses. The result, in part, seems to be a loss in citizen witness availability and high police costs due to overtime pay for off-duty officers subpoenaed to appear. Occasionally, there is compensation for citizens appearing in court, at $3.50 per day. Witnesses are not compensated for working with the police during an investigation. There is some "buy money," but the persons receiving it are generally regular police informants who rarely appear in court.

Court subpoenas for witnesses are served by deputy sheriffs. There are not formal procedures for the police department to notify witnesses of court appearances or for transporting witnesses to court, but officers occasionally do this on their own.

It is unlikely that either police or prosecutors will question a witness about his knowledge of other criminal activity.

There are plans to develop a witness assistance program which may include revamping of scheduling procedures, transporting witnesses to trials, and increasing the reimbursement allowance for witnesses who must forfeit income to attend conferences and appear in court.

4. *Handling physical evidence.* Most physical evidence is collected by evidence technicians. It is routinely forwarded to investigators who may request further analysis. Such analysis generally consists of processing available prints through the local MIRACODE print file, the NYSIIS (New York State Information and Intelligence System), or the FBI.

The department is presently conducting an experiment in one precinct in which patrol officers lift prints and take photographs. Initial indications are that the officers in the experiment have produced quality prints and photos; this method appears to be less expensive than the use of specialized evidence technicians.

Existing procedures for returning stolen property to the owner after use in court are quite cumbersome. Consequently, there is a large accumulation of property evidence. Property tends to be returned only when the owner makes a formal request or when the storage area for property evidence becomes overcrowded.

5. *Supervising investigations.* Plainclothes officers generally conduct an investigation with little supervision. They interrogate suspects, process felony arrests, and assemble case materials for the prosecutors.

The method of case assignment seems to vary with the supervisor. For example, in the Burglary/Larceny section, the city is partitioned into quadrants, and officers consistently work within a particular quadrant. In contrast, cases in the Physical Crimes section are assigned to any officer available.

Field supervisors can make decisions about techniques and about following leads and making arrests, but there is considerable variation in the extent to which this is done. Generally, officers who have the confidence of their supervisors make virtually all specific decisions, while less trusted investigators are more closely monitored.

Similarly, methods of performance evaluation vary widely from one supervisor to another. The department does not provide breakdowns of clearances and arrests by section or unit, nor are other data summarized to aid the supervisor in his role.

The incentive that appears to be strongest for detectives is to achieve better work conditions. Detectives prefer to maintain regular working hours — especially day shifts — and to avoid any possibility of jeopardizing retirement. There are few incentives to work carefully with other investigators or to cultivate a working rapport with patrol officers.

6. *Training.* The principal training for investigators is on-the-job. There is in-service training for two or three days per year, devoted to special topics such as improving preliminary investigative techniques. Some of these in-service training sessions have been conducted by assistant district attorneys.

CHAPTER IX. METROPOLITAN POLICE DEPARTMENT OF THE DISTRICT OF COLUMBIA

A. Introduction

The District of Columbia is a high-crime urban area with more police per capita than any other city in the United States.[1] Its system of managing criminal investigations is characterized by:

- a division of investigative activity among centralized units which specialize by types of crime, several decentralized units, and uniformed patrol officers.
- the influential role of the office of the general counsel,
- a system for reviewing cases presented to the prosecutor and for monitoring the performance of individual officers in making arrests and preparing cases for court,
- the limited use of a Telephone Response Unit to take reports of certain kinds of crime and to receive additional information from citizens concerning previously reported crimes,
- the liberal use of crime scene search personnel and of a Mobile Crime Laboratory,
- the use of program budget working committees to assist the Chief in studying different facets of police work,
- the recent adoption of a procedure to select officers for the rank of "detective, grade one" and "grade two," and
- a "major violators" unit.

[1]Extra police are required to handle the large numbers of tourists and the demonstrations which often occur in the nation's capital.

TABLE 8

BASIC STATISTICS ABOUT THE DISTRICT OF COLUMBIA, ITS POLICE DEPARTMENT AND ITS INVESTIGATORS (1973)

POPULATION (1970 Census)	756,510
AREA (square miles)	61
TOTAL NUMBER OF POLICE EMPLOYEES	4,895
Sworn personnel per 10,000 residents	65
Uniform Crime Offenses[a] per 10,000 residents	648
Uniform Crime Offenses per officer	10
NUMBER OF DETECTIVES[b]	485
Detectives per 10,000 residents	6
Percent of total sworn personnel	10
NUMBER OF DETECTIVES AND SUPERVISORS ASSIGNED TO THE CRIMINAL INVESTIGATIONS DIVISION (Rather than to Police Districts)	213
Percent with supervisory rank (sergeant or above)	23
Percent of detectives and supervisors assigned to the Central Investigations Division	44
Percent of sworn personnel assigned to the Central Investigations Division	4
NUMBER OF CIVILIAN EMPLOYEES	753
Percent of total employees	13

[a]Homicide, rape, robbery, aggravated assault, burglary, larceny (regardless of amount) and auto theft.

[b]Includes all "plainclothes" personnel not assigned to inspectional services or other central non-investigative units. Also includes an estimate of the number of supervisors of plainclothes personnel assigned to districts. SOURCE: Metropolitan Police Department, Washington, D.C. *Annual Report*, Fiscal Year 1973.

The District of Columbia has 65 sworn personnel for every 10,000 residents. Ten percent of the police officers have investigative assignments (see Table 8).

B. Distinctive Features

1. *Division of Responsibilities.* The responsibility for following up felonies and "sufficiently serious" misdemeanors is divided between an investigations section in each of the seven police districts and the Criminal Investigations Division. Patrol officers follow up misdemeanor cases that are judged by their supervisors not to merit investigative attention.

Central Investigations is responsible for the most serious crimes, including:

- all non-traffic deaths
- abortion and attempts
- arson with property damage in excess of $5,000
- auto theft
- bigamy
- blackmail
- bombings, incendiary devices and bomb threats
- bribery
- burglaries that are part of a crime pattern or which involve a loss of over $1,000
- extortion
- false pretenses (all bad check cases)
- forgery
- fugitives
- incest
- armed robberies and robberies of federally insured institutions
- kidnapping
- rape
- seductions
- sodomy

District investigators handle all felonies not specifically assigned to Central Investigations, and they participate in investigations conducted by Central Investigations.

All cases are investigated; cases may be "suspended" from further investigation by supervisory officials only when "every reasonable avenue of investigation has been pursued and exhausted."[2] Some supervisors apparently never use this authority to suspend cases, preferring to defer to the judgment of a 30-person staff review section which reviews all crime reports and supplementary reports on follow-up investigations.

A uniformed officer completes a report for every offense. If the officer believes an investigator is called for, the officer is responsible for calling the investigator. Ordinarily, the patrol officer's report will not be completed before the investigator arrives at the scene, and consequently investigators often find it necessary to repeat questions asked by the uniformed officer. Although this duplication annoys some of the citizens being questioned, one department official suggested that different facts may be elicited by the second round of questioning — thereby adding to the completeness of the investigation.[3]

The decision whether to make an arrest or to apply for an arrest warrant is generally left to the investigator. The investigator may consult a supervisor before making an arrest, but more often, will apply for a warrant and discuss it with his supervisor subsequently, as a matter of courtesy.

2. *Office of the General Counsel.* The most distinguishing feature of the criminal investigations system in the District of Columbia is the role of the general counsel.

a. *Case review.* The general counsel is responsible for a Court Liaison Branch, which is responsible for improving the quality of police case preparation through a "case review process" and for assuring court appearances by members of the department. The case review process is used to identify "areas of performance by members of the department adversely affecting the prosecution of cases." The Court Liaison Branch works closely with the United States District Attorney for the District of Columbia (which is governed by federal law) to collect statistics concerning the outcome of cases. The department is particularly interested in obtaining from the prosecutors a statement of the reasons that a prosecutor may have for "no papering" — refusing to prosecute — a case. If the reasons were within the control of the police officer who presented the case to the prosecutor, then the case is classified as "no papered for a police

[2]General Order 304, December 1974, p. 9.

[3]Occasionally, a district investigator called to the scene will discover that the crime is within the jurisdiction of the Criminal Investigations Division, so that witnesses may be questioned by the police at the scene three different times.

reason." Regular statistical compilations are made[4] of these police-reason cases. In addition, a form (see Figure 3) describing the problem in each case is returned to the officer's commander officer, who sees that the officer is counseled on the reason for his citation.[5] In addition to providing this supervisory information, the Court Liaison Branch designs special in-service training programs and distributes training materials.

Maintenance of an accurate reporting system on "police reasons" for non-prosecution obviously is a different task. Perhaps the most essential link is the training of new assistant district attorneys in the importance and use of the forms.

[4]These compilations are so complete they are difficult to read. A simplified form of presentation (complete with statistical tests) might assist commanders to interpret the data.

[5]Form PD 65, page 1.

METROPOLITAN POLICE DEPARTMENT
WASHINGTON, D.C.

COURT LIAISON BRANCH
(Case Review Section)

CENTRAL COMPLAINT NUMBER _____

REPORTING OFFICER _____

REVIEWING OFFICIAL _____

DATE _____

TO: The Commanding Officer _____ District/Division

SUBJECT: Improper Preparation of Cases for Court

☐ The case indicated above by central complaint number, was unsatisfactorily disposed of in court because of improper case preparation by the investigating officer.

☐ General Order Number 401.5, requires that PD Form 163 (Prosecution Report) be carefully executed in every case. The attached copy of a prosecution report has been monitored for accuracy and clarity and found to be improperly prepared. The insufficiencies are indicated on the reverse side of this sheet.

The copy of this prosecution report has been forwarded for your information to be used as a guideline when providing counseling for the above named officer(s). This counseling shall be provided to assure the proper preparation of future court cases.

The reporting officer and the reviewing official concerned shall acknowledge the fact that they have been counselled, by signing their names in the spaces provided below. The official that provided the counseling shall also sign in the place provided to acknowledge the fact that he did counsel those concerned. This form shall then be forwarded to the Case Review Section, Room 117 Building B, Superior Court, within 15 days of the above date.

_____
REPORTING OFFICER DATE

_____
REVIEWING OFFICIAL DATE

_____
COUNSELING OFFICIAL DATE

PD 65
4/72

FIGURE 3 IMPROPER PREPARATION OF CASES FOR COURT

FIGURE 3: IMPROPER PREPARATION OF CASES FOR COURT (continued)

- [ ] ELEMENT OF OFFENSE MISSING
- [ ] EVIDENCE INADMISSIBLE-SEARCH & SEIZURE
- [ ] EVIDENCE INADMISSIBLE - OTHER (SEE COMMENTS)
- [ ] IMPROPER HANDLING OF EVIDENCE
- [ ] IMPROPER PREPARATION OF STATEMENT OF FACTS
- [ ] FAILURE TO COMPLETE APPROPRIATE BLOCKS OR SPACES
- [ ] INCORRECT SPELLING
- [ ] ABSENCE OF ARRESTING OFFICER/REVIEWING OFFICIAL'S SIGNATURE
- [ ] NOT LEGIBLE

OTHER _____

_____

COMMENTS _____

_____

_____

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_____

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b. Other activities. The general counsel's office is active in collecting suggestions from the department and translating those suggestions into proposed changes to legislation.

Another key activity is participation in drafting departmental general orders concerning subjects such as eyewitness identification procedures, automobile search and inventory, and the preservation of materials that may become court evidence. In 1973, for example, the general counsel issued a new general order on Stop and Frisk, Contact and Spot Check.

An important contribution of the general counsel's office was an *amicus curiae* participation in the case of *United States v. Willie Robinson*, which determined that a police officer who makes a summary arrest of a person for a traffic offense may legally perform a full-field search incident to the arrest.

Some staff attorneys in the general counsel's office are assigned to give routine advance to police districts and certain other units. Members of the general counsel's office, however, are called to crime scenes only in extraordinary situations, such as civil disturbances.

The general counsel also defends the department from civil suits, provides legal advice and interpretation, and serves as Chairman of the Use of Service Weapons Review Board and of the Promotional Appeals Board.

3. *Telephone response unit.* On May 22, 1974, the Metropolitan Police Department established a Telephone Response Unit to take reports of many minor police incidents by *telephone*. Previously, all calls were received by police operators, who completed dispatch cards and sent them by conveyor belt to dispatchers, who in turn transmitted a radio message to a police unit. The principal effect of the Telephone Response Unit is to conserve the time of patrol officers by eliminating some crime scene visits. The unit takes reports of crimes only if:

- suspects are not known,
- suspects have left the scene,
- there is no apparent need for investigation at the scene,
- District of Columbia or Federal property is *not* involved,
- there is obviously no physical evidence to be collected or witnesses to be interviewed, and
- the citizen is willing to cooperate in that fashion.

The telephone reporting procedure is limited to cases of destruction of property, stolen autos, stolen bicycles, stolen or lost tags and petit larceny from an auto; to reports of damage to property, lost property, missing persons (excluding juveniles, elderly, mental patients and cases involving suspected foul play), animal bites; and to *additional information* on all reports.

The reports are filled out by officers with previous street experience. If the officer judges it necessary to send a vehicle, one is sent. If a lookout for a subject, vehicle, tag number, etc., is called for, it is broadcast. Under prevailing department guidelines, all crime reports filled out by the unit are investigated by detectives — so the procedure saves patrol time but not the time of detectives.

4. *Coordination, planning, evaluation and supervision.* The department uses a variety of coordinating techniques. For example, the chief holds weekly staff meetings with top commanders. Furthermore, representatives from each of the Criminal Investigations Division sections and representatives from investigative units in each of the districts meet bi-weekly.

Patrol officers are not regularly informed of the outcome of their cases nor even of detectives' comments on their preliminary crime reports, so patrol officers do not learn how useful their reports have been.

a. *Planning.* Program budget working committees have been set up from time to time to study different facets of police work. These committees may include all ranks of supervisors and officials but usually not detectives or patrol officers. Recommendations of these committees are considered by the chief in adopting new rules for the department, as was recently done in establishing a new "detective, grade one" classification. (See section d, below.)

b. *Research and evaluation.* The Field Inspections Division is responsible for determining the accuracy of crime reporting procedures and whether department guidelines have been adhered to. The Division has not recently reviewed investigative methods or management practices, except for a periodic review of workload statistics for the purpose of making manpower allocations.

c. *Supervising investigations.* All employees in the department, including detectives, have quarterly evaluation conferences with their supervisors. Conferences for investigators are based on Investigators Monthly Activity Reports (see Figure 4) filed by each employee and approved by his supervisor. The report lists each kind of activity to which a detective has been assigned, including street patrol, plants and details, court attendance, and applications for or executions of warrants. Arrests are

divided into "personal arrests" (i.e., on assigned cases), arrests "for you by others," or arrests "by others for you."

Squad supervisors — generally responsible for about six investigators — maintain an open-ended sheet of commentary on each officer's performance. By keeping up with progress on all pending cases, supervisors can get a strong feeling of how officers are contributing to the squad's goals and objectives.

PD 59
Rev. 8/72

METROPOLITAN POLICE DEPARTMENT
WASHINGTON, D.C.

INVESTIGATORS MONTHLY ACTIVITY REPORT

INVESTIGATOR'S NAME (Last, First, Middle) | RANK | ORGANIZATIONAL ELEMENT | REPORT FOR (Month & Year)

DAYS ON STREET		ANNUAL LEAVE TAKEN (HRS)		SICK LEAVE TAKEN (HRS)		COURT ATTENDANCE	ON DUTY	OFF DUTY	WARRANTS	SEARCH	ARRESTS
COMP TIME EARNED (HRS)		PLANTS & DETAILS (HRS) (Explain Here or in Remarks)				NO. OF TIMES			APPLIED FOR		
COMP TIME TAKEN (HRS)		OTHER (HRS) (Explain Here or in Remarks)				TOTAL (HRS)			EXECUTED		

FELONY ASSIGNMENTS				MISDEMEANOR ASSIGNMENTS				MISC. INVESTIGATIONS OR COMPLAINTS		
NO. RECEIVED	NO. CLOSED	NO. PRIOR CLOSED		NO. RECEIVED	NO. CLOSED	NO. PRIOR CLOSED		NUMBER	HOURS	

TYPE OF ASSIGNMENTS											
NUMBER ASSIGNMENTS RECEIVED											
PERSONAL ARRESTS											
ARREST FOR YOU BY OTHERS											
ARREST BY YOU FOR OTHERS											

PROPERTY INVOLVED	AMOUNT REPORTED ON ASSIGNMENTS $	AMOUNT RECOVERED ON ASSIGNMENTS $	AMOUNT RECOVERED PRIOR ASSIGN $	AMOUNT REC. BY YOU-SUS. PROC. OR FOR OTHERS $	TOTAL AMOUNT RECOVERED $

LIST ALL ASSIGNMENTS (INCLUDE PRIOR ASSIGNMENTS CLOSED)

DATE ASSIGNED	UNIT NUMBER	CCN NUMBER	TYPE ASSIGNMENT	NAME OF COMPLAINANT	DATE CLOSED	HOW CLOSED	COMPLETE WHEN ARREST IS MADE		
							ARREST NO.	UNIT	BY WHOM (If Other Than Self)

(Continued on Reverse Side)

FIGURE 4: INVESTIGATORS MONTHLY ACTIVITY REPORT

FIGURE 4: INVESTIGATORS MONTHLY ACTIVITY REPORT (continued)

DATE ASSIGNED	UNIT NUMBER	CCN NUMBER	TYPE ASSIGNMENT	NAME OF COMPLAINANT	DATE CLOSED	HOW CLOSED	COMPLETE WHEN ARREST IS MADE		
							ARREST NO.	UNIT	BY WHOM(If Other Than Self)

COMMENDATIONS OR OTHER MERITORIOUS WORK *(For Additional Space Use Remarks)*

REMARKS *(List Any School Attendance, Lectures Given, Etc.)*

INVESTIGATORS SIGNATURE	DATE	SUPERVISOR'S SIGNATURE	DATE	PAGE____ OF ____ PAGES

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d. *Detective, grade one.* In July 1974, the department instituted the rank of "detective, grade one." A new form has been developed to assist in promoting "those whose acquired expertise causes their supervisors to give them the most sensitive assignments with confidence that objectives will be met." That form (P.D. 411A, 7/74) requires that:

> each candidate shall provide specific facts and examples which support his belief that the following traits are possessed to a degree that will sustain an overall rating of outstanding.
>
> a. Demonstrates the skills and qualities of an excellent criminal investigator. Is skilled in the performance of duties with minimum supervision.
> b. Displays perserverence, initiative and dependability.
> c. Is noted for bearing, dress, courtesy and emotional control.
> d. Is developed in the skills of oral and written communications.
> e. Is quick at adapting to changes, grasping instructions and learning new skills. Is alert, observant and inquisitive.
> f. Demonstrates a sincere interest in self improvement.
> g. Promotes harmonious relationships with fellow workers.
> h. Demonstrates involvement, understanding and communication with the District of Columbia community.

To complete the evaluation process, each supervisor with knowledge of the candidate's work provides a narrative justification for each rating category in which an outstanding rating is given to a candidate.[6] Candidates for this position appear before a selection board consisting of the commanders of the Central Investigations, Patrol and Morals Division and the Director of Personnel and Training.

5. *Major violators' section.* The Criminal Investigations Division has a Major Violators' Section, consisting of a Lineup Unit, a Recidivist Unit and a Fugitive Unit.

a. *Lineup unit.* Prior to 1968, lineups were conducted at various districts and at central police headquarters, but there were no offical guidelines to follow and defense counsel often were not present. The decision in *Wade v. United States* established a constitutional right, under the sixth amendment (applying to the federal government, which governs the District of Columbia directly), for a defendant to have counsel present during a lineup. Subsequently, *Gilbert v. California* decided the general principle that lineups must be properly conducted or evidence derived from them will be excluded at trial. Specifically, *Gilbert* established that witnesses must view a police lineup independently and without knowledge of one another's reactions to the lineup.

The lineup unit documents the names of all people present at a lineup. It also taperecords and photographs all lineups. It is planning to begin videotaping the entire lineup for evidentiary purposes.

The unit informs the court if a defendant did not appear at a lineup or if he appeared but had changed his physical appearance. The officer handling the case is responsible for notifying the sergeant in charge of the lineup unit concerning any alteration in the appearance of the defendant. Court orders are sometimes obtained so that a defendant may be placed in a lineup with a physically altered (or realtered) appearance, such as with a mustache or a wig.

All lineups are very carefully arranged to assure fairness. This protects the rights of the accused and also assures great evidentiary weight for a positive identification. Special lineups are arranged for very short, very tall, heavy, very old, very young, large beared or unusual hair styles or even pregnant women. All lineups have eight similar-appearing people, including the suspect. All lineups are conducted in a special room equipped with one-way glass. (See Appendix A for the instructions given to witnesses.) As a result of this new room and the publicity given to the new procedure, the department believes that positive identifications have increased by more than 12 percent.

The lineup room is a regular feature of the tour given visitors to the Metropolitan Police Department headquarters.

b. *Recidivist unit.* The recidivist unit monitors and keeps statistics on all people who are arrested while they are on any form of conditional release, namely pre-trial release, post-trial release, furlough from prison, or parole. An important function of this unit is to identify these arrestees for handling by the major violators section of the United States Attorney's Office. (The more skilled assistant district attorneys are assigned to these cases.)

Although the PROMIS (Prosecutor's Management Information System) system aids the department in performing this function, the major vio-

[6]Current criteria require that a detective be ranked in the top fifteen percent of detectives in his command in order to be promoted. This may discriminate against detectives in commands with many good investigators.

lators' unit still finds it necessary to check court records concerning the final disposition of cases.

c. *Fugitive unit.* This unit is responsible for all investigations of fugitives from other jurisdictions and for monitoring all arrests made by other jurisdictions for the District of Columbia.

C. Other Features

To this point, we have discussed features of the District of Columbia department which give its investigations system a distinctive flavor. In this section, we will discuss some remaining features of the system which, while they are more routine, may have an important impact on the effectiveness of the system as a whole.

1. *Manpower allocation.* Manpower studies have been conducted from time to time by the Office of Planning and Development. These manpower studies established standards for each type of investigative unit. Investigators assigned to police districts were expected to handle 25 cases per month[7] — but recently consideration has been given to dropping the standard to 20 cases per month. Standards accepted in a November 15, 1973 study are: 8 cases per month per investigator[8] in the robbery branch; 0.4 cases per month per investigator in homicide[9]; 11.1 cases per month per investigator for auto theft; 20.2 cases per month per investigator for the check and fraud section; and 6.2 cases per month per investigator for the burglary and pawn section (Special Investigations Branch).[10] In reaching these recommendations, the study considered both the workload of a unit and its productivity. For example, it was found that even though the number of cases per investigator in the robbery unit had declined by one-third, the rate of solving or "closing" cases had remained constant. Apparently, due to the stability of the closure rate, the number of officers authorized for the robbery squad was *not* reduced.

2. *Witnesses.* Witnesses are notified of court appearances by subpoena served by officers of the court (superior court subpoenas are served by U. S. Marshals). Detectives may personally alert citizens to upcoming court dates, but they need not.

There is no procedure for scheduling court appearances for the convenience of civilian witnesses. Police officers notify the District Attorney of their work schedules, and an effort is made to schedule court time while they are on duty to avoid overtime payments.

There is no official procedure for notifying witnesses or victims if their case has been closed by the arrest of a suspect for another case. There also is no procedure for compensating witnesses for their time in cooperating with an investigation. Witnesses are paid $20 per day while attending court.

3. *Handling physical evidence.* As part of the preliminary investigation, the officer on the scene is responsible for notifying, as appropriate, either the Mobile Crime Laboratory Unit (a vehicle equipped with laboratory facilities) or a crime scene search officer. Crime scene search officers are used liberally, even for such matters as larceny from an auto or larceny of an $80 item from an office.

At the present time, communications personnel do not routinely instruct citizens to preserve evidence of a crime, although individual officers occasionally tell burglary victims to preserve the evidence by leaving the premises in disarray until an officer arrives.

a. Return of property. By statute, confiscated property becomes the responsibility of the property clerk. Stolen autos and perishable property may be returned prior to trial. Ordinarily, other property that is evidence in a case could be released before case disposition only with the concurrence of the District Attorney.

b. *Fingerprint system.* Crime scene search officers obtain fingerprints from many crimes scenes, but the fingerprint file can only be searched manually. At present, prints are primarily useful as evidence after a suspect is identified through other means.

4. *Case assignment.* Generally, cases are assigned to individual detectives in a unit on a rotating basis. Cases are retained by the detective who responded to the scene of a crime, but if an officer has too much work, or if the detective in charge of the case becomes ill or has been scheduled for leave, a supervisor may reassign cases.

Sensitive cases may be given to especially trusted detectives. Some men are recognized specialists in

[7]The caseload standard is presented for the information of other departments and because it has been used by the District of Columbia. The original method of calculating this standard, as found in a memorandum of May 20, 1971, involved an analytical error.

[8]Supervisory personnel are not counted in these ratios.

[9]This figure was not calculated in the report; it is derived from the number of investigators approved for the homicide unit and from the number of homicides reported by the department in Fiscal Year 1973. The workload of this unit also includes the investigation of serious assaults where death might have occurred but does not and of dead bodies that subsequently are determined not to have been victims of homicide.

[10]The study recommended that there be 13 authorized positions to handle the 967 cases that occurred in Fiscal Year 1973.

certain kinds of crimes and might be given a particular case on that basis. For example, special language skills may be needed for a particular case.

Generally, detectives work in two-officer teams, but individual detectives may vary from this procedure.

5. *Investigation not related to specific cases.* Every day, second hand dealers file with the department a list of all items pawned in the previous 24 hours. The pawn unit, which is part of the burglary squad, checks the names of people who pawn and maintains a file on the names of known aliases of people who have sold stolen goods.

In addition, the unit maintains good informal relations with owners of pawn shops to obtain cooperation in identifying repeated pawners.

Information may be purchased by detectives on the approval of their unit commander and of the chief of detectives. For burglary, the maximum authorized payment for information is $25.

The department maintains a special telephone number for people to call to leave anonymous "tips."

6. *Training.* Prior to selection as an investigator, officers are required to pass an Investigators' exam, which is given every two years. Those passing this exam are placed on an eligibility list in alphabetical order, and any unit desiring to fill a position vacancy can select anyone from this list. Investigators selected are then sent to the two-week Investigators' Training Class, and if assigned to either Homicide, Sex or Robbery Branches, are given additional training in special classes set up by these units. These special schools have gained a national reputation, and they accept officers from the surrounding jurisdictions and from other states.

CHAPTER X. NEW YORK CITY POLICE DEPARTMENT

A. INTRODUCTION

The New York City police department has over 30,000 personnel and has experimented with practically every conceivable innovation at one time or another. An overall description of the system for managing investigations in such a complex organization is beyond the scope of this report. Instead, this chapter concentrates on selected programs in use in the Borough of Manhattan:

- a performance evaluation manual,
- an appearance control unit for scheduling witnesses' court appearances,
- a standardized case management system,
- early case closure,
- an experimental burglary report form,
- debriefing of arrestees,
- career paths for detectives,
- special training courses,
- undercover fencing operations, and
- a major violator's unit and major case file.

B. Distinctive Features

1. *Preoccupation of top management.* In the past four years, the department has had three capable and dedicated commissioners — Patrick V. Murphy, Donald Cawley and Michael Codd. The principal concern of these commissioners has been the control of corruption, a problem which was documented by the Knapp Commission, which made its final report in August 1972. The anti-corruption program under Commissioner Murphy led to the retirement or transfer of large numbers of department officials. Under all three of these commissioners, anti-corruption programs have been accompanied by a broad range of other reforms which are intended to improve police effectiveness.

The speed with which the top command is rotated has made it more difficult for top management to take effective control of the rest of the department, which includes many people who react to any commissioner as if he were a passing plague. An overriding concern of many middle managers is to avoid making "mistakes" which will later come back to haunt them should a new commissioner, with different views, assume command.

Despite these problems, many units in the department operate effectively because of the competence of the department's middle managers. Many of these managers express despair at the number of written orders which they are supposed to observe. They take the attitude that they will comply with the rules as best they can and meanwhile will do their best to perform the police task as they see it.

2. *Performance evaluation.* In the past four years, the department has been intensely interested in implementing a system for evaluating the performance of patrol officers and investigators. Prior to 1969, there were no performance evaluations for anyone.

a. *Development of the system.* An LEAA funded study of performance evaluation was conducted by Paul F. D'Arcy of Rohrer, Hibler & Replogle Institute, Inc., and was given limited publication in an undated document (completed in 1971 or 1972) entitled *Development of an Improved System for the Performance Appraisal of New York City Detectives.* The purpose of the study was to design a *total performance* appraisal system; it considered:

- the purpose of the system and the use to be made of its results,
- the credibility of the system,
- identification of appraisers and of those to be appraised,
- identification of relevant aspects of performance and how to observe them,
- *training of appraisers* in relevant aspects of performance and how to observe them,
- training and interview skills for appraisal feedback, and
- *administration and ongoing maintenance of the system.* [1]

D'Arcy identified three essential characteristics of an effective performance evaluation system, namely

[1] Paul F. D'Arcy and John Logue, *Development of an Improved System for the Performance Appraisal of New York City Detectives*, p. 2 (undated, emphasis in the text has been added).

informing the subordinate of the functions he is expected to perform, informing him of the quality of performance expected on these functions, and informing him of how he is doing both in comparison to others and in relation to his past performance.[2] He argues that supervisors often find performance evaluation "threatening" because of potential conflict with subordinates and because the performance of subordinates inevitably reflects on the supervisor's own ability to (1) clarify group objectives, (2) inform subordinates what they should be doing, (3) provide individual direction and suggestions, and (4) follow through to ensure results.[3]

The researchers studied the work of ten specialized investigative squads assigned to four of the city's five detective area commands (excluding the Borough of Richmond). D'Arcy pointed out that the following characteristics[4] of detective work in New York City which complicate performance evaluation are:

- the wide variety of things a detective may be assigned to, including differences in the kind of cases handled in different squads;
- the effect on the nature of the job of being assigned to different areas of the city in which investigations require dealing with people of varying degrees of cooperativeness;
- whether a detective is assigned to any special cases, which may change work activities from routine activities and may even result in his having different supervisors for different portions of the year; and
- the inappropriateness of using arrest records, per se, as a measure of overall performance, and the possible deleterious effects of encouraging insignificant arrests by setting quantitative goals.

In the course of their study, the researchers listed a range of characteristics associated with effective detective performance and then grouped the characteristics together into rational clusters. The ten resulting charactertistics identified were: investigative effectiveness, knowledge, motivation, integrity, information, judgment, reliability, adaptability, leadership and relations with people. A complete description of the characteristics is presented in Figure 5.

In addition to completing a rating form, each supervisor was asked to *rank* the detectives assigned to him, as a basis for possible promotion in grade. Because it was found particularly difficult to rank the middle group (the second and third quartiles), the consultants strongly recommended ranking only the highest and lowest quarter of the officers.[5]

[2] *Ibid.*, p. 6.
[3] *Ibid.*, p. 5.
[4] *Ibid.*, pp. 27-31.
[5] *Ibid.*, p. 50.

EVALUATION REPORT – DETECTIVES Misc. 366 (Rev. 11/72)

Surname	First	M.I.	Grade	Shield	Command	Date Assigned to Command

Tax Registry No.	Social Security No.	Type of Duty Performed	Rating Period From: To:

Date Appointed To: PD DB D3 D2 D1

CHARACTERISTICS OF DETECTIVE PERFORMANCE NOTE: Ratings are to be based on current performance in current squad.	PERFORMANCE IMPROVEMENT NEEDED	AVERAGE	ABOVE AVERAGE	SUPERIOR	OUTSTANDING
INVESTIGATIVE EFFECTIVENESS – The ability to carry cases through to a satisfactory conclusion, to solve crimes by examination, inquiry and analysis; thorough in evaluating clues; persistent in pursuing leads.					
KNOWLEDGE – Applied knowledge of detective methodology, forensic techniques, criminal law, rules of evidence and of the local environment.					
MOTIVATION – Interest and enthusiasm for work of squad; readiness to put aside personal convenience to accomplish squad goals.					
INTEGRITY – Active regard for ethical standards of profession; man of his word; exerts positive influence on peers and others.					
INFORMATION – Skill in identifying sources of information and in obtaining necessary facts.					
JUDGEMENT – Ability to evaluate situations, establish priorities, make sound decisions even under stress.					
RELIABILITY – Can be counted upon to be available or respond promptly; to do what is expected and necessary; to conform to Bureau procedural and reporting requirements.					
ADAPTABILITY – Adjusts style and approach to different situations; can assume varied roles.					
LEADERSHIP – Ability to guide other squad members in group or team activities. Willingness to accept responsibility.					
RELATIONS WITH PEOPLE – Ability to deal with people; to gain their cooperation; to maintain a positive image of the Bureau by his conduct and personal appearance.					

First line supervisor must comment and make recommendations. Include here special skills and characteristics which enable ratee to make unique or significant contributions to the squad.

In what areas do you see the greatest need for this member's further development: (First line supervisor must comment).

FIGURE 5

EVALUATION REPORT--DETECTIVES

ARREST ACTIVITY DURING CURRENT 6 MONTH EVALUATION PERIOD

DATE	PCT.	ARREST NUMBER	No. of Arrests	Type Arrest		CHARGE	DISPOSITION OF PRISONER		
				Asgn.	P.U.		Convicted	Dismissed	Pending

EVALUATION OF ARREST ACTIVITY – Consider the significance of the ratee's arrest activity. Weigh the relativity of the ratee's assignment and the squad's objective versus the type and number of arrests. Circle the appropriate number.

	LOW		AVERAGE			HIGH	
Number of arrests	1	2	3	4	5	6	7
Quality of arrests	1	2	3	4	5	6	7
Case preparation and court presentation	1	2	3	4	5	6	7
Assigned cases cleared by arrest	1	2	3	4	5	6	7
Overall evaluation of arrests	1	2	3	4	5	6	7

If inappropriate to evaluate arrest activity because of the nature of assignment, check here ____ and explain.

RANKING Rank with detectives of the same grade. Do not rank new squad members, those on terminal leave, on extended sick leave or temporarily assigned elsewhere. (Explain below in comments).

I rank this detective _____ of _____

REVIEW, COMMENTS AND RECOMMENDATIONS – C.O. must comment and make recommendations.

In what areas do you see the greatest need for this member's further development: (Squad Commanding MUST comment)

FIGURE 5: EVALUATION REPORT--DETECTIVES (continued)

Overall Evaluation _____ I rank this detective _____ of _____

I recommend ☐ Advancement in grade ☐ Retention in grade ☐ Transfer (explain) ☐ Reduction in grade

Name (typed)	Rank	Command	Date Assigned to Command
Signature		Tax Registry No.	Social Security No.

FIGURE 5: EVALUATION REPORT--DETECTIVES (continued)

b. *Individual performance evaluation guide.* After receiving the report just described, the performance evaluation section of the police department's personnel bureau completed an Evaluation Guide, for use in evaluating patrol officers, detectives, civilian personnel, middle management and executive management. The principal features of this guide, substantial sections of such are reproduced in Appendix B, are:

- a carefully written introductory section, which sets forth suggestions for effective use of the guide;
- a series of detailed questions permitting a rater to rate different specific aspects related to a general trait, such as "communication skills" or "street knowledge," before giving a general rating for that trait;
- the inclusion of some traits that generally are

missed by police performance forms, such as "human relations — impartiality," "judgment — decision making," and "police ethics"; and

- treatment of a detective's *arrest analysis* as six qualitatively rated scales that count as no more or less important than another rating grouping called "work analysis, detective."

The group of ratings for the general trait, "work analysis of detectives," is based on a task study and is presented in Figure 6.

An essential feature of this guide is that sergeants and lieutenants are rated on their own "evaluation skills" and captains and above are rated on their "evaluation administration."

WORK ANALYSIS
DETECTIVE[a]

Is this individual aware of Department policies and procedures?	5 4 3 2 1
Arrest Analysis	
Quantity	5 4 3 2 1
Assigned cases cleared by arrest*	5 4 3 2 1
Pick-up cases of arrest	5 4 3 2 1
Quality	5 4 3 2 1
Case preparation and court presentation	5 4 3 2 1
Overall assessment of arrest activity	5 4 3 2 1

*Arrests need not be made by the assigned detective. Arrests by other commands on assigned cases will also be considered. Inter-command cooperation in disseminating information should be encouraged in achieving the goal of clearing assigned cases.

Does this individual consider service as a most important part of the job?	5 4 3 2 1
Does this individual handle investigations promptly and thoroughly?	5 4 3 2 1
Is this officer knowledgeable of the various social agencies to which he/she can refer people for assistance?	5 4 3 2 1
On investigative calls with the public, does this individual make a serious effort to ameliorate the situation by making appropriate referrals?	5 4 3 2 1

FIGURE 6: DETECTIVE PERFORMANCE APPRAISAL FORM: WORK ANALYSIS

[a]In the rating scales, 5 = well above standards, 4 = above standards, 3 = meets standards, 2 = below standards, and 1 = well below standards.

SOURCE: Evaluation Guide, Police Department, City of New York, pp. 50 and 51.

Are this individual's interactions and interventions with the public on service calls favorably received?	5 4 3 2 1
Does this individual organize work well?	5 4 3 2 1
Does this individual tie fragmented information together and assimilate pertinent data developed internally and externally (outside agencies)?	5 4 3 2 1
Does the individual analyze data and assemble facts and information with accuracy and an attention to detail?	5 4 3 2 1
Is this individual persistent in pursuing his/her investigations and ensuring justice to the best of his/her ability? (e.g. alert to the possibility of false identification of perpetrator)	5 4 3 2 1
Is this individual aware of all the sources of information available (e.g. internal and external indices)?	5 4 3 2 1
Does this individual elicit and develop pertinent information from witnesses, complainants and suspects through his/her skill as an interviewer?	5 4 3 2 1
Is this individual able to seek out and develop sources of information?	5 4 3 2 1
Is this officer aware of court decisions affecting his/her functions as an investigator and does this individual maintain the standards set by the court? (e.g. Miranda and Wade cases)	5 4 3 2 1
Does this individual have a knowledge of the law and does this officer apply the spirit of the law?	5 4 3 2 1

FIGURE 6: DETECTIVE PERFORMANCE APPRAISAL FORM: WORK ANALYSIS (Continued)

c. *Performance evaluation form.* As of the end of 1974, the evaluation guide was not widely used in the department; instead, official performance ratings for detectives use the form shown in Figure 7. While this form refers to the evaluation guide and urges the rater to consider all eleven standards of performance, it actually allows only a very simple classification — with a single satisfactory rating and three ratings suggesting probation, reduction in grade or dismissal from detective assignment. There is no rating category for exceptionally good performance or for satisfactory performance with some room for improvement.

Since comments are allowed, this form can be used for a thorough performance review by a conscientious rater, but it does not facilitate following the evaluation guide.

PERFORMANCE EVALUATION **DETECTIVE/SPECIALIST** MISC. 1030

Surname	First	M.I.	Grade or Specialist Type	Command

Social Security No.	Tax Registry No.	Date Assigned to Command
Shield No.		Date Designated Present Grade or Rank
Annual ( ) Interim ( )		Date Prepared:

DIRECTIONS:

This form is to be used as a means of recording career recommendations for members of the service designated as detectives and specialists. A detective's or specialist's commanding officer will forward two copies of this form to each ratee's immediate supervisor, who shall be designated as the rating officer. The rating officer shall prepare the report, answering each question listed for the recommendation he selects. Upon completion, the rating officer will interview the ratee (see page 7, Evaluation Guide) and forward the report to his commanding officer for review. The reviewer shall sign and date the report in the space provided. If the reviewing officer does not concur with the recommendation of the rating officer, he shall indicate his disagreement on the form and attach a separate report (on Department letterhead) explaining the reason(s) for his disagreement. The reviewing officer shall forward the completed report(s), direct, to the Performance Evaluation Section, 1 Police Plaza, Room 1000, in a sealed envelope. Duplicate will be filed in command folder.

A. The rating officer is required to consult the dimensions of performance as outlined in the Evaluation Guide before making a recommendation. All eleven standards of performance listed in the Evaluation Guide shall be considered, but the rating officer shall give particular attention to the following traits:

DETECTIVE, INVESTIGATOR:	Evaluation Guide,	pages 42, 43, 48, 50.
FIELD TRAINING SPECIALIST:	"	" pages 38, 39, 47, 49.
FIELD SERVICE SPECIALIST:	"	" pages 41, 42, 47, 49.
COMMUNITY AFFAIRS SPECIALIST:	"	" pages 39, 40, 41, 45.
CRIME PREVENTION SPECIALIST:	"	" pages 39, 42, 47, 49.
TECHNICAL SKILLS SPECIALIST:	"	" pages 39, 42, 44, 49.

B. _____ 1. RECOMMEND RETENTION AS A DETECTIVE OR SPECIALIST, WITHOUT RESERVATION. THERE IS NO QUESTION THAT THIS INDIVIDUAL IS FULLY EFFECTIVE IN THIS DESIGNATION. HE HAS NO SIGNIFICANT SHORTCOMINGS AND UNDOUBTEDLY DESERVES THIS DESIGNATION. I ACCEPT FULL ACCOUNTABILITY FOR THIS RECOMMENDATION.

Answer the following questions for this recommendation:

- How did you arrive at this decision?
- What specific qualities prompt you to make this decision?
- What specific instances of superior performance have you observed?

_____ 2. RECOMMEND RETENTION. HOWEVER, I HAVE OBSERVED SOME LIMITATION(S) IN THIS INDIVIDUAL'S ABILITY AND/OR PERFORMANCE. IF SATISFACTORY IMPROVEMENT DOES NOT OCCUR, I WILL RECOMMEND WITHDRAWAL OF DETECTIVE OR SPECIALIST DESIGNATION.

Answer the following questions for this recommendation:

- How did you arrive at this decision?
- What limitation(s) have you observed?

_____ 3. RECOMMEND REDUCTION IN GRADE. I CANNOT RECOMMEND THAT THIS INDIVIDUAL BE RETAINED IN HIS CURRENT GRADE.

Answer the following questions for this recommendation:

- How did you arrive at this decision?
- Is this individual's performance satisfactory for a detective?
- Would this individual be competent in lower grade?

FIGURE 7: PERFORMANCE EVALUATION FORM

_____ 4. **RECOMMEND CANDIDATE NOT BE RETAINED AS A DETECTIVE OR SPECIALIST. CANDIDATE'S ABILITY AND/OR PERFORMANCE HAS NOT BEEN SATISFACTORY, I AM UNWILLING TO BE HELD ACCOUNTABLE FOR THIS CANDIDATE'S RETENTION.**

Answer the following questions for this recommendation:

- **How did you arrive at this decision?**
- **Can you give specific instances when this individual displayed shortcomings? Explain.**
- **Do you know of others under your supervision more deserving of this designation? Yes or No.**

C. **COMMENTS:**

The rating officer will respond to each question listed for the recommendation he selects. Responses need not be lengthy, but must be complete and to the point.

D. I have shown this performance evaluation to the ratee and have fully discussed its contents: _____ Date: _____
Signature of Rating Officer

E. I wish to appeal this performance evaluation _____ Date: _____
Ratee's Initials

Name of Rating Officer (print or type) _____ Tax Registry No: _____

F. Signature of Reviewing Officer _____ Date: _____

Name of Reviewing Officer (print or type) _____ Tax Registry No: _____

(Reviewing officer may comment on separate report if he substantially disagrees with rater's comments, or with the rater's recommendation.)

d. *Contribution of case management system.* It should be noted that the Case Management System described below, particularly the "investigative plan," has given supervisors a much firmer basis for rating individual performances, including contributions to cases other than those directly assigned.

3. *Appearance control unit.* New York City has a unique appearance control unit[6] which saves prosecution witnesses from unnecessary attendance at court and which saves the police department from paying officers (sometimes at overtime rates) for unnecessary court appearances.

The Appearance Control Project began on January 20, 1970 as a joint project of the New York City District Attorney and the Vera Institute of Justice, in cooperation with the New York City Criminal Court and the New York City Police Department. The project's sponsor was the Mayor's Criminal Justice Coordinating Council, which secured LEAA funds for this purpose. At present, the unit is funded by the New York City Police Department.

a. *The routine procedure.* The routine procedure followed by the unit is for an arresting officer to complete initial prisoner processing, including turning his prisoner over to the Department of Correction. Then the arresting officer and the complainant/witness, if any, report to a complaint room in the court building to be interviewed by an Assistant District Attorney ("ADA") who is available around the clock and who decides whether to have a complaint drawn.

During processing, the ADA completes two project forms, a complainant/witness data sheet and an officer appearance calendar. The first form obtains general information about the witness's availability and about unduly burdensome court dates (see Figure 8), and the second form enables the officer to list dates on which he is not on duty or is otherwise unavailable for duty (see Figure 9).

[6]The authors are indebted to James L. Lacy, Assistant Director of the Police Foundation and former director of the Appearance Control Project, for the extensive use which they have made of his paper, "The Appearance Control Project in the New York City Criminal Court: A Progress Report and Proposal," (February 1971).

DISTRICT ATTORNEY'S OFFICE
APPEARANCE CONTROL PROJECT

Complainant/Witness Data Sheet

INSTRUCTIONS: Please print all information requested. The information you supply on this sheet will be treated confidentially by the District Attorney's Office.

1. Name _____
2. Occupation _____
3. Residence

_____
address zip code telephone

4. Business

_____
name of firm address zip code telephone

5. LIST THE HOURS OF THE DAY THAT YOU WORK

Monday ___ to ___ Tuesday ___ to ___ Wednesday ___ to ___

Thursday ___ to ___ Friday ___ to ___

If same hours for all weekdays, list here: ___ to ___

6. If you are not at work between 9:00 a.m. and 1 p.m. each day, list a telephone number at which you can be reached during those hours:

Monday _____ Tuesday _____ Wednesday _____

Thursday _____ Friday _____

If the same number for all weekdays, list here: _____

7. Name of Relative, Friend or Neighbor who will be able to get in touch with you between the hours of 9:00 a.m. and 1:00 p.m.

_____
Name address zip code telephone

8. List any days in the next 6 months on which you will be unable to come to court:

_____ _____ _____ _____ _____ _____

_____ _____ _____ _____ _____ _____

FIGURE 8 : COMPLAINANT/WITNESS DATA SHEET

All-Purpose

DISTRICT ATTORNEY'S OFFICE
COUNTY OF NEW YORK
APPEARANCE CONTROL PROJECT
1971
OFFICER APPEARANCE CALENDAR

All-Purpose

PART A: Please enter required information.

Defendant's Name(s) _____

Arresting Officer's Name _____ Cmd _____ Chart ____

NYPD ( ) Transit ( ) Housing ( ) Port Auth ( ) Other ( ) _____

PART B: CROSS-OUT the dates listed below on which you ARE NOT AVAILABLE for a court appearance in this case (vacation, regular day off, other court appearances, etc.).

	M	T	W	T	F	M	T	W	T	F	M	T	W	T	F
Jan:	4	5	6	7	8	11	12	13	14	15	18	19	20	21	22
	25	26	27	28	29										
Feb:	1	2	3	4	5	8	9	10	11	--	--	16	17	18	19
	22	23	24	25	26										
Mar:	1	2	3	4	5	8	9	10	11	12	15	16	17	18	19
	22	23	24	25	26	29	30	31							
Apr:				1	2	5	6	7	8	9	12	13	14	15	16
	19	20	21	22	23	26	27	28	29	30					
May:	3	4	5	6	7	10	11	12	13	14	17	18	19	20	21
	24	25	26	27	28										
Jun:		1	2	3	4	7	8	9	10	11	14	15	16	17	18
	21	22	23	24	25	28	29	30							
Jul:				1	2		6	7	8	9	12	13	14	15	16
	19	20	21	22	23	26	27	28	29	30					
Aug:	2	3	4	5	6	9	10	11	12	13	16	17	18	19	20
	23	24	25	26	27	30	31								
Sep:			1	2	3	-	7	8	9	10	13	14	15	16	17
	20	21	22	23	24	27	28	29	30						
Oct:					1	4	5	6	7	8	--	12	13	14	15
	18	19	20	21	22	--	26	27	28	29					
Nov:	1	-	3	4	5	8	9	10	11	12	15	16	17	18	19
	22	23	24	--	26	29	30								
Dec:			1	2	3	6	7	8	9	10	13	14	15	16	17
	20	21	22	23	--	27	28	29	30	31					

THE ABOVE LISTS ALL DATES ON WHICH THE ABOVE-NAMES OFFICER WILL BE AVAILABLE FOR COURT APPEARANCES, EXCLUDING THE DATES WHICH HAVE BEEN CROSSED-OUT. LISTED DATES WHICH ARE NOT CROSSED-OUT SHOULD BE EMPLOYED AS ADJOURNMENT DATES IN THIS CASE.

ALL-PURPOSE

ACP/2270-71

FIGURE 9: OFFICER APPEARANCE CALENDAR

The police officer, generally prior to this meeting, furnishes the witness with a small business card to remind him of the case, of his scheduled appearances and of the telephone number of the Appearance Control Project (see Figure 10) which he can contact at any time in relation to his appearances.

DISTRICT ATTORNEY'S OFFICE
APPEARANCE CONTROL PROJECT

Name _____
People v. _____
Docket # _____ Arr. date _____
Officer _____

Date (fecha)	Part	Date (fecha)	Part

Keep this card with you at all times. It is a record of your court appearances in this case. After each court appearance write on the front of this card the day of your next appearance. If you have any questions concerning your court appearances in this case, call the Appearance Control Project at the following number immediately

349-6180

Guarde esta tarjeta con Usted siempre. Es un testimonio de sus comparecencias de este pleito ante el tribunal. Si hay alguna pregunta acerca de sus comparecencias de este pleito ante el tribunal, llame cuanto antes al Appearance Control Project, numero de telefono:

349-6180

FIGURE 10: BUSINESS CARD

b. *Excusing or "alerting" witnesses.* In all cases in which the defendant is released either on cash bail or on his own recognizance, the witness is told that he need not appear at the first hearing after arraignment (the "first adjourned date"), which is used for legal pleadings, discussions between opposing counsel about dispositions and a statement of the defense's intentions in the case.[7] Witnesses in these cases are notified of future appearances by mail or telephone (see Figure 11 for a sample letter).

[7]If the suspect is in jail, all witnesses must attend each hearing, so defense attorneys can be more certain of the presence of witnesses if they attempt to have their client released.

DISTRICT ATTORNEY'S OFFICE
COUNTY OF NEW YORK
APPEARANCE CONTROL PROJECT
155 Leonard Street
New York, N.Y. 10013

People v. _____

Docket _____

_____

_____

The above case has been scheduled for _____ in Part ___ __, Floor _____, Manhattan Criminal Court. YOU WILL NOT BE REQUIRED TO APPEAR AT COURT ON THIS DATE.

You will be notified by this office of the day when you will be required to appear.

If you have any questions concerning this matter, please call the Appearance Control Project at 349-6180.

Please contact this office if you change your address or telephone number.

Should you receive any other notice concerning your court appearance for the above date, please call the Appearance Control Project.

El caso ya citado está arreglado para _____ en parte ____, el piso _____, ante el tribunal Criminal de la Manhattan. USTED NO NECESITA PRESENTARSE ANTE EL TRIBUNAL EN ESTA FECHA.

Esta oficina le avisará del día en que precisará aparecer.

Si hay alguna preguntas acerca de este asunto, llame por favor al Appearance Control Project, teléfono 349-6180.

Tenga la bondad de llamar esta oficina si hace un cambio de direccion o del numero de teléfono.

Si usted reciba otra notificacion acerca de a su comparencia ante el tribunal en la fecha ya citada, llame por favor al Appearance Control Project.

ACP/100-71

FIGURE 11: FORM LETTER

Some of the witnesses qualifying for this excusal procedure are advised that even on the scheduled future appearance they need only be on "alert" and need not appear when court begins. Instead, citizens remain at a prearranged place, usually at home or at a business; police officers (whose court dates are arranged for them to be on duty) go about their regular patrol or investigative responsibilities, subject to call on the police radio.

The appearance control unit makes sure that the officer's command is informed of his obligation to be on alert for a particular court date. Each court day, a list of all alert status cases is given to a court clerk, called a "bridgeman." Alert cases all receive a first calendar call by 10:15 a.m. and a second call, if necessary, by 11:15 a.m. At the time of the second call, the ADA in the courtroom has to advise the unit whether to "activate" the remaining alerts. As soon as it is known that an alert should be activated, the message is transmitted from the court by intercom to the unit, which immediately telephones the appropriate witness or police command, recording the time of the calls. The time of the witness's arrival in court also is recorded.

For a complainant to be included in the alert project, he must meet one of the following criteria:

- works weekdays and generally at his office from 9 a.m. to 1 p.m.;
- at home from 9 a.m. to 1 p.m. and has a home telephone; and
- works weekdays but the nature of his occupation leaves doubt that he will be easily reachable at all times between 9 a.m. and 1 p.m.

If it is considered difficult to reach the complainant during court hours (9 a.m. to 1 p.m.) he could not be on alert.

All non-activated witnesses are informed by letter of the action taken in court on the day of the alert. Form letters similar to those in Figures 12 and 13 are sent to the witnesses.

DISTRICT ATTORNEY'S OFFICE
COUNTY OF NEW YORK
APPEARANCE CONTROL PROJECT
155 Leonard Street
New York, N.Y. 10013
349-6180

RE: People v. _____ Docket _____

_____

_____

_____

The above case was disposed of on _____ in Part _____, Manhattan Criminal Court, by :

( ) dismissal
( ) plea of guilty
( ) other _____.

You will not be required to appear at court in this case in the future.

Thank you for your cooperation.

El caso ya citado fue terminado en _____, en parte _____ de la Corte Criminal de Manhattan, por manera de:

( ) despedida
( ) declaración de culpa
( ) otro _____.

Usted no se necessitará presentarse ante el tribunal en este caso en el futuro.

Muchas gracias por su cooperación.

FIGURE 12: LETTER OF DISPOSITION OF THE CASE

ACP/ 200-71

DISTRICT ATTORNEY'S OFFICE
COUNTY OF NEW YORK
APPEARANCE CONTROL PROJECT
155 Leonard Street
New York, N.Y. 10013
349-6180

RE: People v. _____

Docket _____

_____

_____

_____

On _____ the defendant did not appear at court and a bench warrant was issued against the defendant or the case was otherwise marked off the calendar.

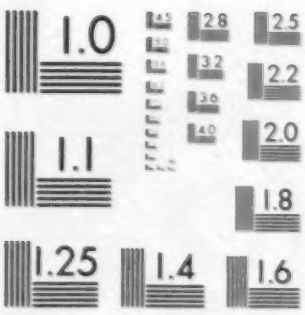
You will be notified by subpoena of any future appearance you might be required to make in the above case.

En _____ el acusado no apareció en la corte y una orden de arrestar fue promulgada contra el acusado o el caso fue eliminado del calendario de otra manera.

Usted será avisado por orden de la corte de cualquiera comparecencia exigida en el futuro en relación con este caso.

FIGURE 13: LETTER OF DISPOSITION OF THE CASE

ACP/ 501-77



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS 1963-A

Because of the complexity of New York City's transportation system, all witnesses are supplied with a map and a suggested transportation route to the court building.

c. *Unit accomplishments*. The combination of the witness excusal and alert procedures resulted in 6,162 verified court appearance savings (hearings where the witness was not required to appear or non-activated alerts). Three-quarters of the saved appearances were for members of the police department.

Only 13 percent of the 460 police alerts and 19 percent of the 58 civilian alerts required activation (i.e., calling to court) on the court date. It took police an average of 70 minutes from the initial telephone call to their appearance in court; civilians averaged 55 minutes. There were only 10 cases in which an officer was activated and it later was found that he was not needed in court.

In four of the 53 activated police alerts, an officer failed to show up in court as required. Two resulted from clerical failures, one from a sudden illness on the court date, and one through an apparently inexcusable failure of the officer.

Project procedures appeared to have no adverse effects on case dispositions. On the contrary, the percentage of guilty pleas for cases in the affected court increased from 5.3 percent in the pre-project year (in 1969 there were 9304 total cases) to 13.5 percent during the project year (in 1970 there were 5477 total cases). A possible explanation for this change is that defense counsels realized the new procedure would prevent them from winning cases by wearing out the complainant through continual scheduling adjournments. However, the project evaluation did not explain why the number of cases dropped so sharply in 1970; whatever caused the decrease may have also affected the likelihood of guilty pleas.

d. *Current status*. The original Vera project has been transferred to the control of the New York City Police Department. It was the opinion of the chief assistant district attorney for Manhattan that this project has made an important contribution to the recognition of the importance of witnesses in the process of prosecuting cases.

4. *Case management system*. The case management system was implemented to introduce better order in the preparation of cases, to facilitate the supervisory review of the status of a case, and to permit a detective who takes over a case to have all relevant information in one place.

a. *Case folders*. Each case folder contains an index sheet, on which every follow-up report and all other items (photographs, laboratory reports, property vouchers, etc.) are listed and very briefly described.

Each folder also contains an "investigative plan," which shows the name of the assigned investigator, the name of the supervisor, the date the complaint was assigned and a complete current status of activities and interviews undertaken in connection with the case (see Figure 14). More than any other factor, the investigative plan has enabled case responsibility to be shared by the whole unit and resources to be used productively.

If there has been positive identification of an unapprehended perpetrator then a "tracing the fugitive" form also is included in the folder (see Figure 15). The form provides a checklist intended to remind the investigator of ways of finding the fugitive.

PART 1

INVESTIGATIVE PLAN

Assigned Investigator _____ Date Rec'd _____

Supervisor _____ Complaint #_____

ACTIVITY CHECKLIST		Remarks
WEAPON USED	YES__NO__ TYPE___	
VEHICLE USED	YES__NO__	
INJURY INVOLVED	YES__NO__	
CANVASS CONDUCTED	YES__NO__	
CRIME SCENE SEARCHED	YES__NO__	
EVIDENCE OBTAINED	YES__NO__ VOUCH #___	
PRINT KIT USED	YES__NO__	
POLAROID CAMERA USED	YES__NO__	
FORENSIC NOTIFIED	YES__NO__	
REPORTING P.O. INTERVIEWED	YES__NO__	
ALARM TRANSMITTED	YES__NO__Date/#_____	
WANTED CARD FORWARDED	YES__NO__ DATE_____	
VISIT TO I.U.	YES__NO__ DATE_____	
VIEW PHOTOS AT SQUAD	YES__NO__ DATE_____	

Additional Activity and/or comments:

Preparation of the Activity Checklist does not preclude the preparation of comprehensive follow-up reports. All follow-up reports should contain detailed information relative to the subject matter listed in the checklist.
The checklist should not be considered to be all-inclusive.

FIGURE 14: INVESTIGATIVE PLAN CHECKLIST

PART 2

FIGURE 14: INVESTIGATIVE PLAN CHECKLIST (continued)

COMPLAINANT/WITNESSES

NAME _____ ADDRESS_____PHONE_____

INTERVIEWED.....YES_____NO_____

NAME_____ ADDRESS_____PHONE_____

INTERVIEWED.....YES_____NO_____

NAME _____ ADDRESS_____PHONE_____

INTERVIEWED.....YES_____NO_____

ADDITIONAL WITNESSES:

Remarks

PREMISES AND LOCATIONS TO CANVASS:

PREMISES AND LOCATIONS TO OBSERVE:

RECORDS TO OBTAIN AND CHECK:

OTHER AGENCIES:

OTHER INVESTIGATIVE STEPS:

CONCISE SUMMARY OF INVESTIGATIVE ACTION AND RESULTS:

MAJOR CASE SYSTEM: T.O.P. 320 s. 72

CASE ENTERED INTO SYSTEM.....YES____NO____

IF YES, DATE_____MAJOR CASE #_____

ENTERED BY:_____

TRACING THE FUGITIVE

This form will be included in the case folder after positive identification has been made of the unapprehended perpetrator/perpetrators. It should serve as a basic checklist and does not exhaust the steps that could be taken or the sources of information that might be consulted.

REFERENCE _____

1.	Full name and aliases.	Yes ____	No ____
2.	Description, pedigree and distinctive marks, etc.	Yes ____	No ____
3.	Modus Operandi.	Yes ____	No ____
4.	Friends, past and present.	Yes ____	No ____
5.	Current girl friend.	Yes ____	No ____
6.	Habits, hangouts.	Yes ____	No ____
7.	Criminal Record, photographs, fingerprints.	Yes ____	No ____
8.	Residence, previous employer fellow employees.	Yes ____	No ____
9.	Physical condition, hospital and medical records	Yes ____	No ____
10.	Stolen Property Inquiry Section for motor vehicle information, etc.	Yes ____	No ____
11.	Social Security Number.	Yes ____	No ____
12.	Selective Service History.	Yes ____	No ____
13.	Department records.	Yes ____	No ____
14.	Handwriting--for comparison of mail cover, hotel register.	Yes ____	No ____

SOME GENERAL SOURCES OF INFORMATION

Auto Dealers
Auto Rental Agencies
City, County and State Records
Finance Companies
Hotels
Insurance Companies
Labor Organizations
Parole and Probation Records
Personal Physician
Prison Records (will show correspondence)
Public Utilities
School Records
Tax Records
Various City, State and Federal Agencies, consult telephone directory.

FIGURE 15: TRACING THE FUGITIVE

Misc: 969

b. *Detective individual case log.* In addition to the case folders, managers have two ways of keeping track of the activities of individual investigators. The squad commander keeps a "dective individual case log" for each investigator showing the cases received, the dates of submitting follow-up reports, and the manner of closing the case (or results obtained). In some squads, the squad commander also keeps a monthly summary sheet showing, for each officer, the number of cases assigned, the number resulting in arraignments or indictments, the number resulting in exceptional clearances, the percent of clearances, and property recovered.

5. *Precinct investigative units.* From late 1971 through early 1974, all 74 precinct detective squads were disbanded, in the interest of "detective specialization." In place of the precinct squads, the department formed a total of 17 homicide-assault, 17 robbery and 17 burglary-larceny squads. Each was responsible for a geographical area comprised, on the average, of slightly more than four of the former precincts.

This movement to specialize detectives apparently was based in part on the belief that specialized squals of detectives would be more effective than precinct generalist squads. While no public statement is known to have been made on the subject, it also probably was believed that specialization of detectives would disrupt existing corrupt ties to precint communities and might make it more difficult to maintain a corruption system because of the overlapping geographical responsibilities of the squads.

After less than three years of experience with specialization, the pendulum now seems to be swinging back the other way. Small specialized squads are maintained at the area (borough) level, but most detectives are being placed under the command of precinct commanders.[8] The hypothesis behind this new program is that detective efficiency will be increased and that making detectives responsible to patrol commanders will further the department's efforts to hold precinct commanders responsible for a comprehensive local police effort. In this new approach, the precinct commander is responsible for most local police services, including response to citizen requests for services, patrol, community relations and investigations. He also is responsible for coordinating the efforts of the patrol and investigative resources under his command.

6. *Early case closure*

In 1972, the detective bureau was the subject of a manpower resources study performed by its management and control division. The study found that:

- many cases which do not lend themselves to a successful conclusion were handled by both patrol officers and detectives, resulting in an unnecessary duplication of work;
- each investigator had so many cases assigned to him that it was hard to hold him responsible for any of them; and
- the average time spent on a case was 4 hours and 41 minutes, with more time spent on successful cases because of time spent in court.

As a result of this study, a new case closure procedure was instituted. Burglary cases under $1500 (excluding burglaries of safes) may now be closed by uniform patrol officers, as can minor crimes (including larcenies up to $250 but excluding larcenies of autos). The "screening sheet" shown in Figure 16 is used[9] by patrol officers for robberies and assaults as the screening sheet indicates, the uniformed officer refers cases for *intelligence* purposes but not for investigation, unless the complainant or a witness can identify the perpetrator *and* the complainant is willing to go to court to prosecute the case.

In practice, all crime reports and screening sheets are reviewed by the coordinating officer (usually a detective lieutenant) for the Precinct Investigative Unit, and he applies common sense guidelines about whether individual cases merit a follow-up investigation. With respect to burglaries, the department reports that about 80 percent of burglaries are closed by the patrol force, with 15 percent handled by precinct detectives and four percent by the area burglary squad.

[8] Although some precincts have neighborhood police teams, detectives are not being placed under the command of team commanders. New York precincts average over 225 sworn personnel.

[9] The procedure in New York was modified after the field work for this study was completed. Screening information is included now in the standard complaint report; the form shown in Figure 12 has been discontinued.

SCREENING SHEET

Complaint Report and This Report Will Be Forwarded In All Cases of Robberies and Assaults

Pct. _____ 61# _____ Compl. Name _____ Date _____ Time _____

The uniformed member taking this report will enter the answers to the following questions:

1. Can the complainant or witness identify (via photos, lineups, etc.) the perpetrator of this crime? ____ yes ____ no

2. Is the complainant willing to go to court to prosecute this case if the perpetrator is arrested? ____ yes ____ no

3. A full or partial name and/or full or partial address of the perpetrator is available and/or a full plate number. describe: _____

4. Was physical evidence left at the scene by the perpetrator? describe: _____

5. Comments: _____ _____ Signature of Complainant (If left blank, indicate reason, i.e. injured, refused).

The S.H. Supervisor/Officer shall use the following criteria for forwarding this form and copies of the complaint report to Boro Detective Squad or Precinct Investigations Unit.

A.	Assaults:	To Pct. Invest. Unit.	ALL (Serious felonious assaults-likely to die are assigned to the Precinct Investigations Unit, but in addition require a telephone notification to the Boro Homicide Squad - THRU BOROUGH DISPATCHER)
B.	Robberies:	To Boro Robbery Squad	ALL commercial (store/doctors/payroll/taxis/delivery trucks, etc.) Notifications to Central Dispatcher will be made when an important and unusual case is closed.
		To Pct. Invest. Unit	All others - (muggings - street and off street/residential robberies/ etc.)

NOTE: If answers to both questions 1 & 2 above are "yes" then case is to be investigated, otherwise case is referred for intelligence purposes. Under no circumstances will a case be closed by uniform if, due to an injury or physical disability, the victim is unable to answer questions 1 or 2.

DETECTIVE BOROUGH CENTRAL DISPATCH #
Bx. - 294-7824 - 0651
Man.- 260-5544 - 5
Bklyn. - 469-9763 -
Qns. - 793-7730 - 1 - 2
793-6080

CASE: ☐ Investigation ☐ Intelligence

REFERRED TO: ☐ Pct. Invest. Unit ☐ Boro Squad

Notified: _____ Date _____ Time _____ Case # _____

NOTE: Telephone notification to Boro Squad must be made in all their cases, whether referred for investigation or for intelligence. Pct. Invest. Unit will be notified by phone if there are two "yes" answers above, and case is theirs.

Misc. 832

FIGURE 16: SCREENING SHEET

7. *Experimental crime report form for burglaries.* In recent months, Manhattan officers have been using an experimental, mimeographed form to report on the preliminary investigation of burglaries. Three sheets are used for each report (see Figure 17). The principal advantage of the form is that it reminds the officer of many specific inquiries he should make. It also provides ample space for identifying property and recording the outcome of witness or complainant interviews.

MANHATTAN DETECTIVE AREA
BURGLARY SQUAD

PRELIMINARY INVESTIGATION REPORT

UF 61 #_____

PART I - CRIME SCENE

Case #____Detective Assigned_____Precinct_____
Place of Occurrence_____
Describe Type of Premises_____
Premises Last Secured (Date & Time)_____
By Whom Secured_____
If Residence, are additional keys available to non-household persons?
Explain_____
Burglary Discovered (Date & Time)_____
Circumstances_____
_____
Type of Premises (Circle) Store Office Apt. Factory Other_____
Place of Entry_____
Method of Entry_____
_____
Lock Examined by Lab_____Results_____
Photos Taken_____
Scene Dusted_____By Burglary Sqd._____Forensic Run #____
Results_____
Any Alarm_____Brand of System _____Type_____
Was Alarm Defeated_____How_____
Time: Recorded by Company_____Police N'tfd_____
Response by Company_____Police Response_____
Results_____
Phys Evid. Gathered_____Describe_____
_____
Disp. & Results_____
Safe_____Brand_____Type_____Age_____
Method Used to Open_____
Degree of Success_____
Persons Privy To Combination_____
_____
Was Combo Written Down Anywhere At Scene_____Where_____
Was the Combo Random or Related_____
If Related, to What?_____
Detective's Prognosis and Recommendations:_____
_____
_____
_____
_____

FIGURE 17: PRELIMINARY INVESTIGATION REPORT
(Burglary Squad)

MANHATTAN DETECTIVE AREA
BURGLARY SQUAD

PRELIMINARY INVESTIGATION REPORT PART III ITEMIZATION OF STOLEN PROPERTY

ARTICLE	QUANTITY	MAKE OR MANUFACTURER	MODEL	SERIAL NUMBER	VALUE	ADDITIONAL DESCRIPTION	ACTION BY DET. RE THIS PROPERTY

FIGURE 17: PRELIMINARY INVESTIGATION REPORT (continued)

FIGURE 17: PRELIMINARY INVESTIGATION REPORT (continued)

MANHATTAN DETECTIVE AREA
BURGLARY SQUAD

PRELIMINARY INVESTIGATION REPORT
PART III INTERVIEWS

NAME, ADDRESS TEL #, TITLE RELATION TO CRIME	FACTS GARNERED FROM INTERVIEW

8. *Debriefing of arrestees.* In Spring of 1974, the Manhattan Detective Area Debriefing Guide was issued to all patrol officers and detectives in Manhattan. The purpose of the guide (see Figure 18) is to urge the officer to ask a suspect about cases that are *unrelated* to the case in which he is suspect.

MANHATTAN DETECTIVE AREA DEBRIEFING GUIDE

INTERROGATING OFFICER_____COMMAND_____DATE_____

PRISONER SURNAME	FIRST	INITIAL	ADDRESS & TELEPHONE	ARREST #	PCT.	CRIME

OFFICER'S STATEMENT TO PRISONER

I am _____. I am going to ask you some questions which have nothing to do with the crime/offense for which you have been arrested. I make no promises of special consideration with respect to the offense you have been arrested for. However, I will advise the District Attorney of your cooperation in response to the following questions:

QUESTIONS	YES	NO
Do you know anyone who is pulling stick-ups?	( )	( )
Do you know who is doing burglaries?	( )	( )
Do you know who is selling "Hot" merchandise?	( )	( )
Do you know who is buying "Hot" merchandise?	( )	( )
Do you know who is working "Gays"?	( )	( )
Do you know who is stealing cars?	( )	( )
Do you know who is hijacking trucks?	( )	( )
Do you know who has killed someone?	( )	( )
Has told you he knows who killed someone?	( )	( )
Has a gun?	( )	( )
Is selling guns?	( )	( )
Is looking to buy a gun?	( )	( )
Is wanted by the police?	( )	( )
Do you want to have a detective meet you later and talk to you about any information you have?	( )	( )

INFORMATION RECEIVED:

FIGURE 18: DEBRIEFING GUIDE

The memorandum circulated with the guide suggested that the *Miranda* warnings be given prior to using the form, just as an added precaution—even though people are not discussing cases in which they are suspects. The officer is advised to readminister the *Miranda* warnings if answers to questions start to implicate the person in a new criminal case.

The officer is urged to use the guide liberally, elaborating on the questions and bringing the arrestee's attention to particular recent crimes of which he may have knowledge. Additional sheets of paper may be added if the space for answers is insufficient. Completed guides are filed with the precinct investigative unit or anti-crime unit with the Manhattan Detective Area Command.

No formal evaluation of the use of the guide has been conducted. People interviewed for this study knew of a few cases which had been solved with the aid of information obtained from the use of the guide.

9. *Career paths program.* For many years, the methods by which patrol officers win the detective's "gold shield" have changed with the wind. In their study of performance appraisal in New York, D'Arcy and Logue report that:

> Entrance into the Detective Bureau has been based on many changing strategies over the years. Some patrolmen have made significant arrests and have been rewarded by a detective shield; others have written to the Police Commissioner or Chief of Detectives making known their desire; others have had the benefit of a "hook" which is a high-ranking officer with connections who interceded in their behalf. At one period, plainclothesmen [patrol officers with undercover assignments] were given special consideration because of their background in Youth Squads or the Tactical Patrol Force was valued. [Almost] all detectives have started as patrolmen; a few have been recruited directly from among academy candidates for undercover work in narcotics and other fields.[10]

In the past three years, an attempt has been made to correct this problem by instituting a Career Paths Program, which also is intended to correct the inequity of having patrol officers serve for long periods in so-called "soft" precincts or for equally long periods in the tougher precincts. As part of this program, precincts are classified into three classes, depending on the severity of their crime problem. Every couple of years officers in the relatively soft precincts are required to rotate into tougher precinct and officers in tougher precincts are permitted to transfer into softer precincts.

One effect of the Career Paths program is that a patrol officer will serve under several different commanders. Ordinarily, an officer must serve for a time in an anti-crime (plainclothes) precinct unit before he can be recommended by his commander for assignment to the Organized Crime Control Bureau, an assignment which must be held for two years before one is assigned to an investigative unit. Before being assigned to the Organized Crime Control Bureau, an officer must go before a screening board. In cases of outstanding acts of integrity, such as refusing a large bribe and making a case against the person offering the bribe, the board may assign an officer directly to an investigative assignment.

If there are no slots open for new detectives, the newly assigned investigator will keep his "white shield." When a slot opens, he will then receive his gold shield.

The new route to promotion assures that a detective will have been evaluated by a variety of commanders before he appears before his promotion board. It also assures that every detective will have been made aware of the department's organized crime program or will otherwise have demonstrated his integrity before gaining a detective's gold shield.

10. *Special training programs.* Newly appointed investigators receive a three week academy training course. Once a year the academy holds a three-week refresher course, scheduled so that only one or two officers are absent from their unit at any one time. In addition, special one-day training sessions may be arranged. For example, burglary detectives recently have received two separate days of training, one by a local safe company and one by a local private alarm company — both given at no cost to the city. The detectives benefited by learning more about safes and alarms, and the companies benefited because knowledgeable detectives could more readily assist them in their anti-burglary efforts. In addition, these private companies occasionally have internal problems with their employees and they are grateful for the assistance of the detectives in investigating these problems.

11. *Fencing operation.* In the past two years, the New York City Police Department has operated two undercover fencing operations to buy stolen goods. The idea is to compile evidence against people who are selling such goods and possibly to

[10] *Op cit.* p.9.

identify large fences through trying to wholesale the buys. In these fencing operations, pictures of customers are taken surreptitiously, and latent prints may be lifted from the counter after a customer leaves. Obviously, these are delicate operations, which, to some extent, encourage burglary by providing an outlet for goods. Great care must be taken to assure that the likely benefits of the operation outweigh the risks.

12. *Major violator's unit and major case program.* In 1972, the New York City Police Department initiated a Major Violator Program to focus attention on suspected offenders believed to be responsible for a large amount of crime. By concentrating on those individual , the police department, in cooperation with prosecutors and the courts, expected to pinpoint and concentrate prosecution efforts on individuals who might otherwise pass unnoticed through the congested New York City courts. A file of about 400 major violators is maintained and, upon the arrest of a major violator for any charge a special unit in the department is notified. The unit sees that the case gets the priority it merits.

In addition, New York City has a Major Case Program. Under that program, an officer may elect to file a Major Case Report (see Figure 19) with the concurrence of his commanding officer. The reports are screened and those accepted as major cases are given special attention by the Major Violators' unit.

CITY OF NEW YORK

MAJOR CASE REPORT — **POLICE DEPARTMENT**

PD244-158 (Rev. 3-72)

PRISONER'S SURNAME	FIRST	INITIALS	PCT.	ARREST NO.	COMPLAINT NO.	MCR NO.

SEX	AGE	ADDRESS	DATE OF ARREST	TIME

DATE OF OCCURRENCE	TIME	PLACE OF OCCURRENCE	☐ INSIDE	☐ OUTSIDE

ARRESTING OFFICER	RANK	TAX REG. NO.	SHIELD	COMMAND

CHARGES AND SPECIFIC OFFENSES (LIST 1, 2, 3, ETC.)

DETAILS OF ARREST (LIST ADDITIONAL PRISONERS, ARREST NUMBERS, AND WITNESSES, IF ANY)

DETAILED REASONS WHY THIS ARREST SHOULD BECOME A MAJOR CASE REPORT:
USE ADDITIONAL PAGE IF NECESSARY.

DATE ARRAIGNED	BOROUGH	PART	JUDGE	DISTRICT ATTORNEY

☐ BAIL — AMOUNT: POSTED — ☐ YES ☐ NO ☐ R.O.R. ☐ REMANDED WITHOUT BAIL

ADJOURNED DATE	BOROUGH	PART	DOCKET NUMBER(S)

INITIATING COMMANDING OFFICER	RANK	COMMAND	DATE	RANK/SIGNATURE

FIGURE 19: MAJOR CASE REPORT

☐ MAJOR CASE REPORT CLOSED — NO FURTHER ACTION. REASONS AND COMMENTS:

☐ ONGOING ☐ INITIATING COMMAND NTFD.	DATE AND TIME NOTIFIED	NOTIFICATION RECEIVED BY:

APPEARANCES

1. APPEARANCE AND DATE (Specify Type: Hearing, Trial, Grand Jury, Sentencing).		NEXT APPEARANCE DATE	PART
BOROUGH LIAISON OFFICER	DISTRICT ATTORNEY	JUDGE	

BRIEF SUMMARY

2. APPEARANCE AND DATE (Specify Type: Hearing, Trial, Grand Jury, Sentencing).		NEXT APPEARANCE DATE	PART
BOROUGH LIAISON OFFICER	DISTRICT ATTORNEY	JUDGE	

BRIEF SUMMARY

3. APPEARANCE AND DATE (Specify Type: Hearing, Trial, Grand Jury, Sentencing).		NEXT APPEARANCE DATE	PART
BOROUGH LIAISON OFFICER	DISTRICT ATTORNEY	JUDGE	

BRIEF SUMMARY

4. APPEARANCE AND DATE (Specify Type: Hearing, Trial, Grand Jury, Sentencing).		NEXT APPEARANCE DATE	PART
BOROUGH LIAISON OFFICER	DISTRICT ATTORNEY	JUDGE	

BRIEF SUMMARY

FINAL DISPOSITION

☐ NOT GUILTY ☐ GUILTY — FINAL CHARGES:

DATE	PART	JUDGE

SENTENCE:

DATE	PART	JUDGE

C. OTHER FEATURES

to this point, we have discussed studies or programs of New York City which may be of particular interest to other departments. In this section, we will discuss some remaining features of the system which, while they are more routine, may have an important impact on the effectiveness of the system as a whole.

1. *Conduct of investigations.* The civilian telephone clerks who receive crime reports record the information on a computer terminal with a display screen. The information is automatically transferred to the dispatcher's display screen. Dispatchers are sworn officers with previous street experience.

Some minor crimes, such as a wallet-picking, may be handled entirely by telephone. For a crime of any seriousness, a police car is sent. The uniformed officer is responsible for conducting a preliminary investigation and, if the crime is sufficiently serious under department procedures, for calling in detective assistance. Generally, if precinct detectives are called in, the officer will still be there when they arrive and — depending on their knowledge of his ability — they may rely on his report of his investigation. When an area (borough) squad is called, however, the delay is longer and the officer may leave before the detectives arrive; consequently, they must start their investigation without having seen the patrol officer's preliminary report.

It is a general policy for detectives to work in pairs. When one member of the pair is sick or on leave, another detective will substitute. There are very few tasks, even clerical tasks, in which the partnership will split up with one partner doing one activity and the other partner doing another.

Ordinarily, the decision to make an arrest would be made by a detective in conference with a supervisor, unless the situation is too hot to wait. Usually, arrest warrants are not obtained. At one time, the legal division of the police department had suggested that warrants be obtained but the prosecutor's office did not cooperate.

The department brings as many charges against an individual as there is evidence to support it. Cases are considered cleared only if there is enough evidence to support a court case.

2. *Handling physical evidence.* All detectives are trained to lift fingerprints and take photographs for evidentiary purposes. A technician is called only if the detective on the scene feels that technical assistance would be helpful.

Fingerprints are filed in central police headquarters. Detectives can obtain a search for the identity of a person on whom they have a latent print, but such a search would be used primarily for cases of great importance. Recently, the department has installed a $300,000 computerized system of scanning fingerprints, developed by McDonnell Douglas Electronics Company, in which microfilmed prints are scanned by a laser beam at 80 fingerprint images per second. Previous to the installation of this new system, suspect fingerprint identification could take weeks. Now a search is expected to be completed in minutes.

There is no routine procedure by which the telephone personnel inform victims to preserve evidence at the scene of a crime, but one detective expressed his strong opinion that New Yorkers are so well informed about crime from the press and television that they do not disturb evidence before a police officer gets there.

Evidence is under the legal control of the prosecutor, who issues guidelines in each individual case. There is an increasing tendency to release property, particularly vehicles, perishable property, or portions of a store's inventory (if a large portion of inventory was stolen). Photographs often are taken of the items before they are released.

The police department's property room is subject to special controls instituted in reaction to the disappearance of a quantity of heroin. Now, officers checking out property are photographed and their identification is photographed simultaneously.

3. *Coordination.* Homicide and robbery squads exchange information on felony murder cases or in robberies in which a serious injury may lead to a felony murder charge. The robbery squad receives copies of all reports filed with respect to robbery-homicides. A robbery intelligence officer assigned to the Manhattan detective command is responsible for coordination among areas, particularly for coordination with the Bronx — which many Manhattan robbers appear to include in the practice of their illegal profession.

The Manhattan area burglary squad assigns individual officers as liaison officers for precincts within Manhattan. The principal contacts within a precinct are with a "crime prevention specialist" (a uniformed officer who conducts building surveys), the precinct's administrative lieutenant, the lieutenant operations officer, and the commander of the precinct investigative unit. Periodically, the burglary investigator gives brief training talks at police roll calls in his assigned precinct.

Bulletins may be circulated concerning a recently

arrested person, so that different commands may decide whether that person has also committed crimes that fall within their responsibility. Bulletins may also be issued, with or without pictures, in uncleared cases.

4. *Inspections*. Inspection teams from the Chief of Detective's office or from the Patrol Services Bureau's Area Office, periodically review the files of precinct investigative units (subject to review by both the patrol and detective bureaus) on a spot-check basis. The inspectors try to assure effective investigative activity. Sometimes they spot-check reports with complainants to determine the level of citizen satisfaction and the accuracy of the reports. Similar inspections are conducted of each of the detective squads in the area, but these squads are not subject to Patrol Services' review and only the Chief of Detective's office would conduct these studies.

5. *Participation in planning*. The department uses a variety of devices to enlist officials and officers in the planning process. These vary from regular command meetings at which policy is discussed to the advance circulation of some proposed orders. Occasionally, groups of sergeants or patrol officers are called together for comments on a new policy.

Command officials and officers have a variety of reactions to these planning exercises. Some say that they would not submit any comments, even though asked, unless they detected an astounding problem in the proposed procedure. Some are more activist and speak their minds when asked.

APPENDIX A

INSTRUCTIONS TO PROSPECTIVE LINEUP WITNESSES

METROPOLITAN POLICE DEPARTMENT
OF THE DISTRICT OF COLUMBIA

METROPOLITAN POLICE DEPARTMENT
Criminal Investigations Division

SUBJECT: Instructions to Prospective Lineup Witnesses

You have been requested by the Metropolitan Police Department to view a Court Ordered Lineup. When you view this lineup it will be independently. This new lineup room has been constructed primarily for your protection and comfort.

The subjects you are to view will stand behind a one-way glass. These subjects cannot see you and cannot hear anything you say. The subjects standing in this lineup will have large numbered plaques around their neck. These numbers may not be in numerical orders, as shown in the diagram below.

7	2	10	3	5	1	8	4

Your name is never mentioned during these lineups.

When you view the lineup you will be asked the following questions:

Question #1. On a certain date and certain location you were the victim of or witness to whatever the crime happens to be in your particular case.

If the Date and Location is correct all you have to say is "YES." If the information is incorrect inform the lineup officer right then so he can make a correction on the lineup sheet.

Question #2. Would you take a good look at the subjects standing behind the glass and see if you can recognize anyone who committed this crime. If you recognize a subject or subjects who committed this crime all you have to say is "YES," or "YES I RECOGNIZE SOMEONE." You then will be asked one or more questions by the lineup officer.

Question #3. Would you identify this subject by the plaque number around his neck? All you have to say then is the number which the subject you recognize is wearing.

If, after looking at all the subjects in the lineup, you don't recognize anyone, we then want you to say "NO" or "NO I DON'T RECOGNIZE ANYONE."

Remember we are here to find out the truth about the subjects who are standing in the lineup in regard to your particular case.

If when you come in and are viewing the lineup and you are not sure, and this happens to many witnesses, tell the lineup officer what you are not sure of, for example you may say:

"Subject #2 looks like the man but I'm not positive."

OR

"Subject #3 is the same height and complexion but I can't be certain."

Do not tell the lineup officer any of the circumstances of the case as he does not have any knowledge of any of the cases, he is only there to conduct the lineups.

The sets of double doors in the hallway were placed there so that witnesses who view the lineup cannot have any conversations with other witnesses who have not yet had an opportunity to view the lineup. On your way home, after all the witnesses in each case have viewed the lineup independently, you may then at any time converse about the case.

The Metropolitan Police Department has a dual responsibility. First to the witnesses who view the lineup and to the subjects who stand in these lineups.

1. For the witnesses, to make them as comfortable as possible, not to detain them an unreasonable amount of time while viewing the lineup. Most important to protect them. That is why the Metropolitan Police Department had this lineup room constructed.

2. For the subjects who stand in the lineups and I speak to you now as individual witnesses. If the person who committed a crime against you happens to be a short subject I could not place him in a lineup with eight (8) other subjects who are much taller than he. This would be called a suggestive lineup by the court. So this responsibility falls on the Police Department. When you come into this room to view the lineup all the subjects standing in the line will appear to be of comparable height.

Ask prospective witnesses if they have any questions as to the lineups.

APPENDIX B
EVALUATION GUIDE FOR THE NEW YORK CITY POLICE DEPARTMENT

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EVALUATION GUIDE FOR THE NEW YORK CITY POLICE DEPARTMENT

Introduction

As society changes so does the role of the police officer. Accordingly, today's society is one that makes numerous demands of a service nature on the police. It is estimated that the overwhelming majority of police contacts with the public are of a service nature. The official attitude and strategy for approaching these functions reflect heavily on the image of the police and the police community relations.

All too often in the past, performance for police officers was geared to a "number of arrests" orientation with little emphasis on the well-rounded police officer who performed quite effectively. In addition, the quality or type of arrest being made was rarely analyzed and there was no mechanism for monitoring case preparation and court presentation. Today's police officer must be able to perform in a service model and all of his or her activities must be monitored to some degree by those responsible for ratings.

This guide is to be viewed as a management tool for all members of the Department. It is to be used as an adjunct to the formal evaluation form. It contains relevant dimension standards for every level of the Department, including the middle management levels (Sergeant and Lieutenant, Supervisory Clerk, Administrative Assistant and Associate) and the executive management levels (Captain and above, Senior Administrative Assistant and Administrative Manager).

The questions listed in this guide represent the criteria for judgement and ultimately lead to rating of the subordinate for each standard. The suggested use of the guide is as follows:

(1) For each individual mentally rate (or, if you prefer, use an additional piece of scrap paper) the ratee on each of the specific criteria questions listed in the guide. The pattern of rating should give you, the evaluator, a good idea of the appropriate rating on the standards listed on the evaluation form, i.e. well above standards, above standards, etc. The judgements arrived at with the guide questions and the particular rating arrived at in the standards should be closely correlated. These questions are for your use to assist you in evaluating fairly. They are not to be duplicated and submitted with the evaluation form. However, they may be useful in completing the "rater comments" on the front of the evaluation form where specific strengths and weaknesses are to be defined during the appraisal interview with the individual being evaluated.

(2) It will be helpful during the evaluation period for the rater to keep the guide questions in mind when observing ratees under his or her supervision. It is important that you seek to observe your subordinates in a variety of situations in order to fairly evaluate them in terms of the full range of standards mentioned on the evaluation form.

Evaluation Aids For The Rater

1. Documentation

A good method of maintaining objectivity and overcoming subjective influences is to keep a notebook handy to jot down observations about subordinates as events happen. Notes of both desirable and undesirable behavior having a bearing on the rating should be made. A record of critical incidents will aid the supervisor when reviewing his appraisals with the rated employee.

2. Preparing the evaluation form

a. Choose a quiet place where you can work without interruption.

b. Direct your attention to the traits indicated on the ratee's performance evaluation form (PD 439-etc.). Begin evaluating the traits listed in conjunction with the appropriate "Dimensions Guide" booklet provided for the designated rank. For example: look at the trait "Communications Skills" on the evaluation form. Now open the dimension guide booklet to the listing of "Communications Skill." You will note a number of dimensions — (questions) relating to this trait listed followed by the numbers 5-4-3-2-1. These numerals pertain to the Standards indicated on the rating form. e.g., 5 — Well Above Standards, 4 — Above Standards, 3 — Meets Standards, 2 — Below Standards, 1 — Well Below Standards.

After you have selected a numerical rating for each question (use a scrap paper if required) you then determine your "pattern of rating" from the answered questions in order to select your Standard Evaluation choice for entry on the rating sheet for this particular trait. For example: presuming under "Communication Skill" there are six (6) questions and you selected in the following order 5-4-4-4-5-3, or 5 — Well Above Standards, 4 — Above Standards, 4 — Above Standards, 4 — Above Standards, 3 — Meets Standards. This "pattern of rating" shows the average evaluation basis encompasses the "Above Standards" designation for this trait. This pattern of rating would apply to the balance of traits to be rated on the evaluation form.

c. Don't record minor imperfections of able officers which do not reduce their competence or reduce their usefulness. While substantial faults must be recorded insignificant imperfections should be omitted.

d. When rating the traits consider the end results; differences in operating style should be ignored. Avoid criticizing an individual merely because his work style may differ from your own.

e. Comments as to performance because of a lack of the ratee's experience should be avoided. If progress in mastering a new job is normal for someone under the existing circumstances no comment is necessary. Only unusual performance, under the circumstances, either good or bad should be recorded.

f. Try to be as specific as possible in your comments. Generalities have no place on an evaluation. Keep in mind that the subordinate's career may be affected by the statements that you make.

g. After you have rated the subordinate on the standards, consider the subordinate's overall performance in an absolute sense. Denote his performance as "meets standards," "above standards," "below standards" etc.

Before assessing the ratee's leadership ability it is necessary to define leadership. Leadership, unfortunately, is many times thought of only in the street leader sense. There are, however, many other ways leadership can be illustrated. Ability to organize group work effectively; to properly divide tasks and allocate responsibilities and to successfully correlate the various factions of a job into one overall complete job, sometimes called executive ability or executive leadership, must be given due consideration.

3. Appraisal Interview

The evaluation interview is the heart of the evaluation process. During this interview the rater has the opportunity to discuss the ratee's strengths and weaknesses with him. In this manner the interview serves both to further motivate the excellent performer and to further develop the performer who has deficiencies. The appraisal interview should be conducted in private in an appropriate office. Sufficient time should be allocated for this task perhaps by utilizing slack patrol periods. i.e. late tours. Commanding Officers should insure that appraisal interviews are properly conducted.

The appraisal interview should be well planned to reach its objective: determining a course of action which will improve performance and develop the worker. Prior to the interview the evaluation should

be reviewed to determine why the individual was rated as he was. Remember, sincerity and open-mindedness are the key ingredients to a successful appraisal interview. The rater and ratee should discuss the individual's present status along with the specific recommendation of the supervisor. The guide questions can be of value in highlighting specific strengths and weaknesses of the subordinate. The questions may also assist the subordinate to understand exactly what type of performance is expected for the future. During the appraisal interview, objectives should be set for the subordinates' development in a superior-subordinate counseling atmosphere. The objectives set should be well defined and limited to short and medium term in expected attainment. **Care should be exercised by the superior officer in ensuring that the subordinate has a clear understanding of the expected objectives.** Once an understanding has been reached as to the ratee's present status and future expectation, the appraisal interview may be concluded leaving the door open for future consultation, direction and reinforcement of planned objectives.

4. Influences Which Distort Evaluations

Some other influences that tend to distort the judgment of the rater and should also be avoided, are listed below:

a. Anxiety to retain worker friendship.

b. A rationalization that ratings do not really mean anything.

c. A desire to avoid unpleasant tasks.

d. A low rating for a subordinate will reflect on the rater's performance.

e. A feeling that "other supervisors don't play the game fairly, so why should I penalize my man?"

f. Giving undue consideration to ratee because of seniority, age or need.

g. Bias — inclination toward a conclusion as you approach a problem.

h. Halo Effect — rating a subordinate on all traits because of an undue influence of one trait, either good or bad.

i. Leniency Error — rating a subordinate higher than he merits.

j. Central Tendency — is a hesitancy to render extreme judgements. The result is to displace individual ratings into average classifications.

DIMENSIONS FOR POLICE OFFICER AND DETECTIVE

APPEARANCE

Is the manner of this officer's dress appropriate for the requirements of the present assignment?	5 4 3 2 1
Does this individual's appearance give an immediate impression of a professional police officer?	5 4 3 2 1
Does this officer's bearing elicit a positive response from the public?	5 4 3 2 1
Does this officer's appearance reflect a positive self image and pride?	5 4 3 2 1
Is this officer properly uniformed? (see Department Manual Procedure 105-1 through 7)	5 4 3 2 1
Are this individual's uniforms and equipment clean and serviceable?	5 4 3 2 1
Measure this officer's personal appearance, personal hygiene, weight, hair style. (see personal appearance guide chart)	5 4 3 2 1
Is this individual physically fit?	5 4 3 2 1

COMMUNICATION SKILLS

Does this individual express ideas with clarity, poise and relevance?	5 4 3 2 1
Is this individual empathetic when speaking to people on a person to person basis?	5 4 3 2 1
Is this officer tactful in dealing with others?	5 4 3 2 1
Does this individual have the verbal ability to reduce tension through persuasion?	5 4 3 2 1
Does this officer have the verbal ability to express authority and allay fears?	5 4 3 2 1
Does this individual effectively express himself/herself in group interactions?	5 4 3 2 1
Is this individual able to communicate his/her point of view to others?	5 4 3 2 1
Does this individual maintain open lines of communication with other police personnel by exchanging information with them whenever possible?	5 4 3 2 1
Does this individual listen to what others say and extract relevant information?	5 4 3 2 1
Are this officer's written reports complete, concise, accurate and qualitative?	5 4 3 2 1
In preparing reports, does this individual comply with Department procedure?	5 4 3 2 1

COMMUNITY RELATIONS

Is this individual aware of the cultural background of the community?	5 4 3 2 1
Is this officer aware of and sensitive to the various existent groups? (e.g. religious, fraternal, racial, etc.)	5 4 3 2 1
Does this individual know the community leaders and have an awareness of their needs and their aspirations?	5 4 3 2 1
Does this individual have an insight into the incipient problems that may affect a community?	5 4 3 2 1
Is this individual positively involved with the community he/she serves?	5 4 3 2 1
Is this individual concerned with the response of the public to him/her?	5 4 3 2 1
Does this officer's performance and interaction with the public reflect favorably on the image of the police within the community?	5 4 3 2 1
Has this individual developed a knowledge of community resources and does this officer make serious referrals?	5 4 3 2 1
Is this officer concerned with and supportive of the youth in the area? (e.g. incipient delinquency, neglected children, etc.)	5 4 3 2 1
Does this officer give community "feedback" to superiors?	5 4 3 2 1
Does this individual coordinate service efforts with the Community Affairs Police Officer?	5 4 3 2 1

HUMAN RELATIONS — IMPARTIALITY

In interacting with the public, does this officer empathize with its plight by being friendly, tactful and humane?	5 4 3 2 1
Does this officer try to look at things from the other party's point of view?	5 4 3 2 1
Does this officer give people adequate time to explain their problems?	5 4 3 2 1
Do people respond well to this officer's actions and are they generally satisfied with this individual's handling of situations?	5 4 3 2 1
Is this officer able to give consolation and emotional support to people in times of crises?	5 4 3 2 1
Does this individual allow people a chance to ventilate their feelings in order to relieve tension?	5 4 3 2 1
When possible, does this officer try to explain or give a rationale to people before taking action in order not to appear arbitrary?	5 4 3 2 1
Does this individual use persuasion rather than authority realizing he/she can always fall back on authority to gain compliance?	5 4 3 2 1
Does this officer recognize impartiality as part of being a professional?	5 4 3 2 1
Does this individual offer equal service to "all" people predicated on need regardless of ethnic or racial background, economic class, sex or status?	5 4 3 2 1

Is this officer sensitive to the human rights of individuals? 5 4 3 2 1

Does this individual recognize stereotyping as a shortcoming? 5 4 3 2 1

Does this officer avoid a condescending or contemptuous attitude? 5 4 3 2 1

Does this officer maintain a favorable relationship with other police personnel by being cooperative whenever possible? 5 4 3 2 1

JUDGEMENT — DECISION MAKING

Does this officer avail himself/herself of all possible relevant information before making a decision? 5 4 3 2 1

Are decisions and actions in accord with command policies and concerned with community response? 5 4 3 2 1

Does this officer consider alternatives and implications of actions? (e.g. use of deadly physical force) 5 4 3 2 1

Is this individual able to establish correct priorities? 5 4 3 2 1

Are this officer's decisions logically sound, as opposed to emotional or impulsive? 5 4 3 2 1

Is this officer able to integrate his/her decisions with those of peers and supervisors in order to coordinate his/her functions with command goals? 5 4 3 2 1

Can this individual make decisions under stress? 5 4 3 2 1

Does this officer assimilate information readily permitting him/her to get to the crux of matters quickly?	5 4 3 2 1
Does this individual make decisions within a reasonable time?	5 4 3 2 1
Is this officer's judgement exercised with the welfare of the people involved as the primary concern?	5 4 3 2 1
Is this officer able to exercise restraint?	5 4 3 2 1
Does this individual use discretion in making arrests?	5 4 3 2 1
Is this police officer able to make firm decisions despite past errors?	5 4 3 2 1

POLICE ETHICS

Does this officer actively support Department policy?	5 4 3 2 1
Does this officer view police ethics as an essential ingredient of professionalism?	5 4 3 2 1
Does this individual's deportment and performance reflect a high level of integrity?	5 4 3 2 1
Is this individual willing to be unpopular among peers in order to adhere to positive principles?	5 4 3 2 1
Is this individual aware that cynicism has a negative effect on ethical standards and work performance?	5 4 3 2 1
Is this individual loyal?	5 4 3 2 1
Can this officer be relied upon to fill sensitive positions?	5 4 3 2 1

SELF IMAGE

Does this officer value and take pride in his/her work as a police officer?	5 4 3 2 1
Does this individual's deportment suggest an officer who possesses **self-assurance** and who is not easily threatened or antagonized?	5 4 3 2 1
Is this individual's **self-assurance** clearly demonstrated by performance?	5 4 3 2 1
Is this officer a willing worker?	5 4 3 2 1
Does this individual display proper attitudes in all work contacts?	5 4 3 2 1
Is this officer a self-motivator requiring a minimum of supervision?	5 4 3 2 1
Does this individual have **confidence** in his/her own ability?	5 4 3 2 1
Is this officer willing to take reasonable risks?	5 4 3 2 1
Is this officer's self-image in line with reality?	5 4 3 2 1

SERVICE-ORIENTED

Is this individual's general outlook geared to providing service to the public?	5 4 3 2 1
Does this individual go out of his/her way to give assistance to the public?	5 4 3 2 1
Does this officer place a high priority on public satisfaction?	5 4 3 2 1
Is this individual aware of the needs and feelings of the people he/she services?	5 4 3 2 1
Is this officer effective in attempting to address these needs once they are recognized?	5 4 3 2 1
Is this officer aware of various service agencies available to help people in need?	5 4 3 2 1
Does this individual answer service calls and complaints with dispatch?	5 4 3 2 1
Does this officer give respect to get respect?	5 4 3 2 1
Does this individual place a positive emphasis on the personal treatment of citizens?	5 4 3 2 1

STABILITY AND FLEXIBILITY

Is this officer a stable individual?	5 4 3 2 1
Is this officer able to maintain control in incidences of stress?	5 4 3 2 1
Is this individual able to control his/her emotions?	5 4 3 2 1
Is this officer mature enough to withstand verbal abuse?	5 4 3 2 1
Does this officer employ necessary force when appropriate but only as a last resort?	5 4 3 2 1
Does this officer engage in enforcement activity (arrest and summonses) in accordance with Department and local command policies rather than as a personal action?	5 4 3 2 1
How does this officer react to unforeseen events?	5 4 3 2 1
Can this individual adapt to changing circumstances?	5 4 3 2 1
Is this individual able to adapt his/her approach to attain objectives?	5 4 3 2 1

STREET KNOWLEDGE

Is this individual aware of the criminal hazards and other conditions that exist in his/her assigned area?	5 4 3 2 1
Does this individual direct service efforts toward these hazards and conditions?	5 4 3 2 1
Is this officer able to perceive potential police hazards and to act against them before they become actual hazards?	5 4 3 2 1
Is this individual able to separate the usual from the unusual in recognizing hazards in his/her assigned area?	5 4 3 2 1
Does this officer have an immediate and instinctive perception of police street conditions?	5 4 3 2 1
Does this officer have a grasp of patrol techniques and is this individual innovative in their application?	5 4 3 2 1
Is this officer versatile in his/her patrol function effectively handling a variety of situations? (crime, traffic conditions, vice, lost children, etc.)	5 4 3 2 1
Does this officer patrol in an intelligent manner directing his/her efforts toward command priorities and utilizing slow service periods for secondary functions?	5 4 3 2 1
Does this officer intelligently respond to the scene of crimes and emergency situations? (e.g. respond without siren in burglary cases and respond with caution in emergency situations?	5 4 3 2 1
Is this individual able to defuse potential arrest situations?	5 4 3 2 1
By effective action, does this officer eliminate the need to make certain arrests?	5 4 3 2 1

STREET KNOWLEDGE
DETECTIVE — INVESTIGATOR

Is this individual aware of the criminal hazards and other conditions that exist in his/her assigned area?	5 4 3 2 1
Does this individual direct service efforts toward correcting these hazards and conditions?	5 4 3 2 1
Is this officer able to perceive potential police hazards and to act against them before they become actual hazards?	5 4 3 2 1
Is this officer able to separate the usual from the unusual in recognizing hazards in his/her assigned area?	5 4 3 2 1
Does this officer have an immediate and instinctive perception of police street conditions?	5 4 3 2 1
Does this officer have a grasp for investigative techniques and is this individual innovative in their application?	5 4 3 2 1
Is this officer versatile in the investigative function effectively handling a variety of investigations?	5 4 3 2 1
Is this officer adept at recognizing evidence and is this individual able to assure its validity through a proper chain of control?	5 4 3 2 1
Is this individual able to develop sources of information in the community?	5 4 3 2 1
By effective action, does this officer eliminate the need to make certain arrests?	5 4 3 2 1

WORK ANALYSIS

Does this individual consider service as a most important part of the job?	5 4 3 2 1
Does this officer respond as quickly as possible to service calls?	5 4 3 2 1
Is this officer knowledgeable of the various social agencies which he/she can refer people for assistance?	5 4 3 2 1
Are this officer's interactions and interventions with the public on service calls received favorably?	5 4 3 2 1
Is this individual aware of all the sources of information available? (e.g. internal and external indices — preliminary investigation)	5 4 3 2 1
Is this individual able to develop sources of information in the community?	5 4 3 2 1
Does this individual analyze data and assemble facts and information with accuracy and an attention to detail? (preliminary investigation)	5 4 3 2 1
Is this individual persistent in pursuing his/her investigations and ensuring justice to the best of his/her ability?	5 4 3 2 1
Is this officer aware of Department policies and procedures?	5 4 3 2 1
Does this individual have a knowledge of the law and does this individual apply the spirit of the law?	5 4 3 2 1

Arrest analysis

Quantity (see T.O.P. 165 s.72)	5 4 3 2 1
Quality	5 4 3 2 1
Case preparation and court presentation (see Interim Order #22 s.73)	5 4 3 2 1
Overall assessment of arrest activity	5 4 3 2 1

WORK ANALYSIS
DETECTIVE

Does this individual consider service as a most important part of the job?	5 4 3 2 1
Does this individual handle investigations promptly and thoroughly?	5 4 3 2 1
Is this officer knowledgeable of the various social agencies to which he/she can refer people for assistance?	5 4 3 2 1
On investigative calls with the public, does this individual make a serious effort to ameliorate the situation by making appropriate referrals?	5 4 3 2 1
Are this individual's interactions and interventions with the public on service calls favorably received?	5 4 3 2 1
Does this individual organize work well?	5 4 3 2 1
Does this individual tie fragmented information together and assimilate pertinent data developed internally and externally (outside agencies)?	5 4 3 2 1
Does the individual analyze data and assemble facts and information with accuracy and an attention to detail?	5 4 3 2 1
Is this individual persistent in pursuing his/her investigations and ensuring justice to the best of his/her ability? (e.g. alert to the possibility of false identification of perpetrator)	5 4 3 2 1
Is this individual aware of all the sources of information available (e.g. internal and external indices)?	5 4 3 2 1
Does this individual elicit and develop pertinent information from witnesses, complainants and suspects through his/her skill as an interviewer?	5 4 3 2 1

Is this individual able to seek out and develop sources of information?	5 4 3 2 1
Is this officer aware of court decisions affecting his/her functions as an investigator and does this individual maintain the standards set by the court? (e.g. Miranda and Wade cases)	5 4 3 2 1
Does this individual have a knowledge of the law and does this officer apply the spirit of the law?	5 4 3 2 1

WORK ANALYSIS
DETECTIVE

Is this individual aware of Department policies and procedures?	5 4 3 2 1

Arrest Analysis

Quantity	5 4 3 2 1
Assigned cases cleared by arrest*	5 4 3 2 1
Pick-up cases of arrest	5 4 3 2 1
Quality	5 4 3 2 1
Case preparation and court presentation	5 4 3 2 1
Overall assessment of arrest activity	5 4 3 2 1

*Arrests need not be made by the assigned detective. Arrests by other commands on assigned cases will also be considered. Inter-command cooperation in disseminating information should be encouraged in achieving the goal of clearing assigned cases.

DIMENSIONS FOR SERGEANTS AND LIEUTENANTS

COMMUNICATION SKILLS

Does this individual communicate with clarity, poise and relevance?	5 4 3 2 1
Do this individual's skills in communication result in effective representation of the command?	5 4 3 2 1
Is this individual tactful in dealing with others?	5 4 3 2 1
Does this individual have the verbal ability to reduce tension through persuasion?	5 4 3 2 1
Does this individual effectively relay the commander's policies in community group interactions?	5 4 3 2 1
Does this individual project confidence in the commander's policies to the public and to subordinates?	5 4 3 2 1
Is this individual an effective conduit of communications and policies between superiors and subordinates and is this reflected in the performance of the subordinates?	5 4 3 2 1
Is this individual willing to disagree with superiors when it is warranted?	5 4 3 2 1
Does this individual listen attentively to all sources of information and extract relevant information?	5 4 3 2 1
Are written communications complete, concise, accurate and qualitative?	5 4 3 2 1
In reviewing reports, does this individual extract salient information and effectively process the report?	5 4 3 2 1

HUMAN RELATIONS — IMPARTIALITY

Does this individual maintain a good relationship with people?	5 4 3 2 1
Is this individual able to give consolation and emotional support to people in times of crises?	5 4 3 2 1
Does this individual use persuasion rather than authority realizing he/she can always fall back on authority to gain compliance?	5 4 3 2 1
By example, does this individual encourage subordinates to be empathetic with citizens?	5 4 3 2 1
Is this individual able to maintain a good relationship with subordinates which is neither too formal nor too familiar?	5 4 3 2 1
Do subordinates and members of the public feel free to discuss things with this individual?	5 4 3 2 1
Are subordinates consulted about command problems and does this individual encourage subordinates to participate in solving these problems?	5 4 3 2 1
Does this individual offer equal service to all people predicated on need regardless of ethnic or racial background, economic class, sex or status?	5 4 3 2 1
Is this individual aware of and sensitive to cultural differences and does he/she effectively avoid stereotyping?	5 4 3 2 1
Is he/she sensitive to the human rights of individuals?	5 4 3 2 1

JUDGEMENT — DECISION MAKING

Does this individual avail himself/herself of all relevant information possible before making a decision?	5 4 3 2 1
Are judgements consistent with command policies, and do they reflect concern for community response?	5 4 3 2 1
Does this individual use positive managerial techniques in judgement and decision-making (e.g. participative management)	5 4 3 2 1
Is this individual able to perceive a problem and deal with it effectively?	5 4 3 2 1
Considering priorities are this individual's decisions logical as opposed to emotional or impulsive?	5 4 3 2 1
Can this individual make rational decisions under stress?	5 4 3 2 1
Does this individual make decisions within a reasonable amount of time?	5 4 3 2 1
Does this individual assimilate information readily permitting access to the crux of matters quickly?	5 4 3 2 1
Is this individual's judgement exercised with the welfare of the people involved as the primary concern?	5 4 3 2 1
Is this individual able to exercise restraint?	5 4 3 2 1
Is this individual able to integrate decisions with those of his/her peers in order to coordinate command effort?	5 4 3 2 1

Does this individual maintain adequate resolve to make decisions despite past errors in judgement?	5 4 3 2 1
Is this individual willing to acknowledge mistakes?	5 4 3 2 1
Does this individual explain the rationale for decisions to subordinates whenever possible?	5 4 3 2 1
Does this individual encourage subordinates to participate in the decision-making processes?	5 4 3 2 1
Does this individual encourage subordinates to make decisions?	5 4 3 2 1
Does this individual review subordinates' decisions and offer constructive criticism when it is warranted?	5 4 3 2 1

POLICE ETHICS

Does this individual actively support Department policy?	5 4 3 2 1
Is this individual an example of one who possesses high ethical standards?	5 4 3 2 1
Does this individual's deportment reflect a high level of integrity?	5 4 3 2 1
Does this individual effectively communicate to subordinates the commander's policies in a manner indicating that they are his/her policies also?	5 4 3 2 1
Is this individual able to deal effectively with cynicism?	5 4 3 2 1
Is this individual willing to be unpopular in order to adhere to strict ethical codes?	5 4 3 2 1
Has this individual been aware of and acted on incidents of corruption which occurred within his/her area of responsibility?	5 4 3 2 1
Is this individual loyal?	5 4 3 2 1
Could this individual be relied on to fill sensitive positions?	5 4 3 2 1

SELF-IMAGE

Does this individual give a positive impression of self-assurance which gains recognition and commands respect?	5 4 3 2 1
Does this individual value and take pride in his/her position as a police supervisor?	5 4 3 2 1
Does this individual give an impression of a self-assured supervisor of personnel?	5 4 3 2 1
Does this individual project to subordinates a positive attitude toward the Department and the public?	5 4 3 2 1
By this individual's example, are subordinates instilled with a sense of professionalism and loyalty to the Department?	5 4 3 2 1
Is this individual assertive when necessary?	5 4 3 2 1
Is this individual a self-assured supervisor who is not reluctant to delegate authority?	5 4 3 2 1
Is this individual's self-image in line with reality?	5 4 3 2 1

WORK ANALYSIS

Does this individual plan work in a manner that effectively carries out the policies of the commanding officer?	5 4 3 2 1
Does this individual adroitly organize available resources? (personnel and material)	5 4 3 2 1
Is this individual able to coordinate subordinates' efforts toward command priorities?	5 4 3 2 1
Is this individual able to establish control procedures which effectuate the policies of the commanding officer?	5 4 3 2 1
Has this individual successfully made the transition from police officer to middle manager? (sergeants only)	5 4 3 2 1
Does this individual continually interact with subordinates, keeping them aware of policies and procedures?	5 4 3 2 1
Does this individual adequately follow-up and monitor subordinates' work to ensure quality performance?	5 4 3 2 1
Is this individual proficient in reviewing investigation reports and other police records in order to control the work of subordinates?	5 4 3 2 1
Is this individual able to improve subordinates' performance by involving them in the achievement of goals?	5 4 3 2 1

Is this individual able to motivate his/her workers to improve performance?	5 4 3 2 1
Is this individual able to develop subordinates and to improve their performance by increasing their knowledge and skill through training?	5 4 3 2 1
Is this individual capable of discerning subordinate deficiencies and able to deal with them effectively through training or discipline?	5 4 3 2 1
Is this individual willing to face problems frontally by taking decisive disciplinary action when warranted?	5 4 3 2 1

DIMENSIONS FOR

CAPTAINS AND ABOVE

EVALUATION ADMINISTRATION

Does this executive use the evaluation program as a management tool to effectuate command efficiency?	5 4 3 2 1
What is the attitude of this individual's personnel in regard to the evaluation program?	5 4 3 2 1
Does this person train his/her supervisory officers in proper evaluation techniques, such as using the appraisal interview for motivating and developing subordinates?	5 4 3 2 1
How carefully does this executive rate his/her own supervisory officers?	5 4 3 2 1
Does this person observe subordinates in a variety of situations particularly on patrol in order to ensure breadth and fairness in his/her evaluation?	5 4 3 2 1
Does this individual provide subordinates with specific feedback indicating strengths and weaknesses requiring improvement?	5 4 3 2 1
Does this executive effectively review the evaluation forms of his/her personnel to reduce the common rater errors of central tendency, halo effect, leniency etc.?	5 4 3 2 1
Are there any patterns of appeals for bias present in this person's command?	5 4 3 2 1
Are evaluations submitted to the Performance Evaluation Section on time?	5 4 3 2 1
Does this executive's command have a high "error return rate" on evaluations?	5 4 3 2 1

JUDGEMENT — DECISION MAKING

Does this executive seek all possible relevant information before making a decision?	5 4 3 2 1
Does this individual formulate general principles from concrete events by conceptual thinking?	5 4 3 2 1
Is this person able to perceive a problem and deal with it effectively?	5 4 3 2 1
When making decisions does this executive give due consideration to all relevant alternatives?	5 4 3 2 1
Is this person perceptive of complex relationships and broader concepts?	5 4 3 2 1
Are this individual's decisions based on logical priorities? (as opposed to emotional or impulsive)	5 4 3 2 1
Does this executive consider the implications and consequences of his/her actions?	5 4 3 2 1
Is this individual able to exercise restraint?	5 4 3 2 1
Does this person make decisions within a reasonable time?	5 4 3 2 1
Are this executive's decisions and actions in accord with Department policy?	5 4 3 2 1
Are this executive's decisions effectively carried out by his/her subordinates?	5 4 3 2 1
Are this individual's decisions exercised in the best interests of the public?	5 4 3 2 1
Does this person formulate sound decisions under pressure?	5 4 3 2 1
Does this executive maintain his/her resolve to make decisions despite past errors in judgment?	5 4 3 2 1

PERSONNEL

Is the general appearance of this executive's personnel indicative of a police unit committed to professional excellence?	5 4 3 2 1
Is there participation by the members of the command toward attaining the Department's goals?	5 4 3 2 1
What is the quality of leadership of the Sergeants and Lieutenants assigned to this person's command?	5 4 3 2 1
What is the overall productivity of the command in terms of quality arrests, summonses and patrol response to service?	5 4 3 2 1
Are the personnel efficiently deployed? What is the command's personnel safety record?	5 4 3 2 1

APPENDIX C
MEASUREMENT TECHNIQUES

APPENDIX C
MEASUREMENT TECHNIQUES

This appendix presents a number of measurement techniques which might be used to determine the results achieved by innovative police programs. Most have been used satisfactorily for this purpose in various departments.

1. *Direct measurement of police performance*

a. *Productivity*[1]. Official police statistics, such as answers to calls for service, arrests made, clearances, and so forth may be the most accurate measures a department can afford, but they must be used with care if they are to give a reasonably accurate picture of reality. As Peter Greenwood points out a report on the New York City police department:

> "... records, in general, are not collected for analytical purposes .... Instead, they are compiled to fulfill operational needs. ... Thus, the analyst may find that the records lack some important explanatory variables ... or that records collected at two different dates are not wholly comparable because recordkeeping procedures changed in the meantime."[2]

A striking example of the problem Greenwood cites could be observed in Chicago in 1959. Commissioner Orlando Wilson instituted a number of reforms and one result, according to the police records, was that the number of petit larcenies in the city tripled within one year. This apparent anomaly occurred because one of the reforms instituted by Wilson was a change in bookkeeping procedures. Many petit larcenies had not been recorded before the reforms. A higher percentage was recorded as a result of the reforms (but probably not 100 percent.)[3]

Yet, even though official statistics may contain large unknown biases, they should not be rejected out of hand. As Greenwood concludes:

> But because the collection of more complete and accurate data requires significant effort, as well as possible disruption of the activities being studied, it is worthwhile to begin with whatever data are available.[4]

Police records have been used, with appropriate tests for validity, for many evaluations, such as the neighborhood team policing experiment in Rochester[5] and the use of women as patrol officers in the District of Columbia.[6]

Given existing police statistics, a variety of measures can be computed. As one example, the following formula has been recently suggested[7] to account for the overall arrest productivity of a department:

$$\text{Apprehension and Prosecution Productivity} = \frac{\text{The number of criminals apprehended and prosecuted}}{\text{The number of crimes}}$$

This formula, which is not now known to be used by any police department, has the following characteristics:

- It is proportional[8] to the average risk that an individual will be caught as the result of

[1]For a more complete discussion of productivity measurement, see Harry P. Hatry (The Urban Institute), *Wrestling with Crime Control Productivity*, The Police Foundation, 1975; and The Urban Institute, *The Challenge of Productivity Diversity: Improving Local Government Productivity Measurement and Evaluation, Part III: Measuring Police-Crime Control Productivity*, National Commission on Productivity, Washington, D. C., 1974.

[2]Peter W. Greenwood, "An Analysis of the Apprehension Activities of the New York City Police Department," RAND Report R-529-NYC, September 1970, p. 2.

[3]This example is discussed along with many other aspects of using statistics as measures of performance in Donald T. Campbell, "Reforms as Experiments," *American Psychologist* 24, April 1969, pp. 409-429.

[4]Greenwood, *op. cit.*, p. 3.

[5]Peter B. Bloch and Cyrus Ulberg, *Auditing Clearance Rates*, The Police Foundation, December 1974.

[6]Peter B. Bloch and Deborah Anderson, *Policewomen on Patrol: Final Report*, The Police Foundation, May 1974.

[7]This measure was first suggested to the authors by Thomas White of The Urban Institute. A further discussion of the measure may be found in Thomas White, *et al.*, Police Department Programs for Burglary Prevention, The Urban Institute, February 1975. (This report may be published soon by National Institute of Law Enforcement and Criminal Justice as part of the "Prescriptive Package" series).

[8]The proportion depends upon the average number of criminals per crime.

committing one crime. *This is the best available measure of the deterrent effect of apprehension.*

- It counts arrested and prosecuted individuals and thereby avoids the necessity of making fine distinctions about the resulting number of "exceptional clearances" or "clearances by arrests" that might be permitted under FBI crime-classification guidelines. It also reduces the incentive for detectives to devote their time to investigations whose sole purpose is to increase the clearance rate by pinning more crimes on one individual without contributing to arrest productivity.
- It does not count the arrests not considered by the prosecutor or the judge at arraignment to be worthy of prosecution. It therefore counts only those cases where police procedures are well coordinated with the requirements of the local criminal justice system. These cases are the only ones in which criminals can be convicted and punished.

It should be noted that arrest productivity is more appropriate for measuring the performance of police units than for individual officers. Quite often, as noted elsewhere, arrest statistics do not give an accurate picture of an individual's contributions.

b. *Performance observation.* The simplest way to obtain direct information about performance is for observers to accompany officers on duty and record their activities. Such observational methods have been used successfully in Rochester, the District of Columbia, and Norwalk, Connecticut.

In Rochester, detectives rode with patrol officers and recorded their observations about the officers' preliminary investigations of burglaries. In addition to a factual description, the observer recorded his own opinion about how the investigation might have been improved. Subsequently, a researcher and the observers jointly studied the reports and developed a videotaped training film and a manual to instruct officers in preliminary investigation techniques.

As part of the study of policewomen in the District of Columbia, the researchers designed a form for observing police incidents and trained observers (mostly students) in their use. The training included the use of films of police incidents and some preliminary field observations which the observers discussed with the researchers.

In Norwalk, Connecticut, the police department used direct observation to study methods of handling interpersonal conflict situations (such as family fights). Police officers collaborated with a group of social science researchers to develop a form and a "debriefing" procedure for describing how officers were handling conflict situations. This study used special techniques to motivate officers to give accurate information. First, all information collected was entirely anonymous and was never communicated in any way to an officer's supervisors. Second, some of the officers involved in the experiment were part of the regular Research Panel along with the members of the research team. Third, the Research Panel members were jointly responsible for describing the conflict management techniques and approving the final report. This procedure served to emphasize that the study was being done by officers who were sincerely trying to improve their department, and thus motivated other officers to provide accurate information.

In general, observational methods may be used either for helping a manager understand how his officers are currently performing or for comparing the effectiveness of one or more methods of accomplishing the same objective. One should be aware that observed officers are likely to be on their "best" behavior. Hence, the method will not be suitable for evaluating all field programs. In addition, great care must be taken to explain the use of observers and to assure the observed officers that the study will not reflect on their individual records.

c. *Performance ratings.* A good employee performance rating system has many uses, including creating performance incentives for officers and evaluating new programs. If the system is reliable, the effect of a program on employee performance can be assessed by comparing performance ratings for experimental and comparison units (or officers). It is important that ratings used for program evaluation not be made by supervisors who have a personal stake in the outcome of the evaluation — unless the ratings can somehow be verified by outside auditors.

d. *Use of investigative reports.* The ordinary report forms used by a department can be designed to be useful for tracing the investigative process. The forms in use in Rochester are particularly good for this purpose because they require an officer to indicate whether certain kinds of critical information have been discovered. These forms have been used, for example, to determine whether follow-up report forms represent unnecessary duplication of preliminary investigative forms or whether the follow-up has added some new information. The Rochester forms also have been used to determine that certain units in the department have greater success than

others in using physical evidence to apprehend criminal suspects.

The investigative plan used in New York also can be used to assess investigative processes.

2. *Measuring opinions and conducting surveys.*

a. *Anonymous interviews.* A police manager may need to go beyond formal channels to find out how a program is being received. It is rare that people will speak the truth openly about programs known to be dear to the heart of the chief.

Officials and officers may be more candid in giving their opinions if they know that:

- their identity is not attached to their criticisms;
- others are being asked the same questions; and
- the results will be used in making decisions.

In Cincinnati, officers have used anonymous, written questionnaires to give their opinions on the use of community service officers and on a high-priority neighborhood team policing program. In both cases, the chief found that the results from the anonymous questionnaires were useful, either by changing the decision he might otherwise have made or by suggesting problems that might be remedied through new management strategies.

b. *Opinions of prosecutors.* In Washington, D. C. there is a formal system for collecting the opinions of prosecutors, through the Prosecutor's Management Information System (PROMIS). PROMIS was designed to keep track of offenders and to classify cases according to their importance, for the purpose of assigning the most important cases to a major violators' branch within the prosecutor's office. Since information on the identity of officers is contained in the system, it can generate information on the disposition of cases brought by individual officers as well as different patrol and detective units. Furthermore, it indicates the prosecutor's opinion about whether a disposition is considered to be the "fault" of a particular officer. Available statistics indicate that the percent of cases which could not be prosecuted because of police errors declined after the system began operating. Key to the accuracy and success of such a system is continuous training of the assistant prosecutors who record information about each case.

In DeKalb County the police obtain feedback from the prosecutor's office without a computerized system. When a case file is sent to the prosecutor, a form is attached for recording the case's disposition. When the form is returned to the central records unit, it is forwarded to the Central Investigations Division which investigated the case.

c. *Citizen interviews.* Citizen interviews can be very valuable in evaluating police programs but, unfortunately, reliable surveys often are expensive. Three kinds can be considered.

The most expensive type of citizen interview is the *victimization survey,* which obtains crime rates for geographical areas by interviewing citizens. Rates obtained in this way are more reliable than those from police reports since citizens frequently do not report crimes to the police. In addition, police departments vary in the way they classify borderline crimes. Since relatively small percentages of households are victimized each year, large numbers of interviews must be completed in order to obtain accurate measurements.[9]

For local programs, the cost of a victimization survey conducted for police purposes *alone* makes it a questionable investment, but if the survey includes other material of interest to a municipality, the cost may be justified. In the opinion of Harry Hatry, project director for studies of State and Local Government at The Urban Institute:

> Surveys costing less than $10,000 seem possible and likely to be practical. Some technical questions remain, however. In such attempts, municipalities will have to settle for less precision and less detailed questioning [than the federal government has obtained in its victimization surveys]. The one-to-three percentage point confidence limits possible through the larger surveys and the longer interviews would cost many thousands of dollars more.[10]

Telephone victimization surveys (using the random digit dialing method) show some promise for reducing per interview costs. Victimization surveys should be undertaken only with advice from a competent technical consultant; otherwise, the study may be valueless.

Another potentially useful kind of citizen interview is the *service survey,* which consists of interviews of citizens who have recently requested police service or observed the police performing a service. These consumer-satisfaction surveys should be completed soon after the citizen has been involved in police activity, so that his memory will be fresh. Regardless of how a service survey's sample is constructed, there are likely to be

[9]The U. S. Census Bureau has performed victimization surveys in a few cities in recent years. A city desiring a victimization survey may be able to obtain some help from the Census.

[10]Harry P. Hatry, *Wrestling with Police Crime Control Productivity Measurement,* Police Foundation (December 31, 1974, xeroxed), p. 17.

difficulties in contacting the citizens. Mistakes may be made by incorrectly recording a name, address or telephone number. Likewise, citizens may intentionally supply misleading information to the police. Despite these problems, a service survey was found to be useful in the study of policewomen in the District of Columbia cited above and in a study of neighborhood team policing in Cincinnati.[11] However, researchers who attempted a service survey to find out about the quality of police conduct in handling interpersonal conflicts have concluded that it is impossible to get accurate information from such a survey.[12]

A survey of citizen attitudes may be useful for judging the political climate and the acceptability of a program. Because all citizens have attitudes (whether or not they have been victimized), the survey sample may be as little as one-fifth the size needed for a victimization survey. Since attitudes are easier to tap than memories of complex past events, the survey instruments may be much briefer. With a good study design, citizen attitudes may be compared among different sections of a city and — if a highly visible and significant change in police conduct has occurred — it may be possible to trace the effect of a police program on citizen attitudes.

An attitude survey also may be used as a "marketing" device. That is, before the introduction of a new program, a survey may help determine likely citizen reactions. Care must be taken to be sure that citizens fully understand the new program and how it will affect police procedures or else the marketing survey will only obtain a general response not relevant to the new program.

3. Verifying measures. It is most important that any measures adopted be tested analytically and in the field before they are set in concrete.

a. *Analytical testing*. Careful auditing procedures should always be used to assure that bias has not crept into any statistics used.

An example of the careful use of statistical measures is furnished by a recent preliminary study of the investigative effectiveness of police teams in Rochester. All of the following steps were followed in order to be sure that an improvement in the clearance rate indicated by the statistics reflected actual practice:

- sample computer records of crimes and arrests were compared with physical files in order to determine whether the computer file was an accurate reflection of the physical file;
- the records of arrests by officers in the program and officers not in the program were examined to determine whether the program's results were due to the accidental assignment of more skilled officers to the experimental treatment or whether the arrest records of the experimental officers had improved more than the records of comparison officers;
- reports were sampled to determine whether the classification of crimes was similar in the experimental and comparison area; and
- arrests were tracked through the prosecution stages to determine whether experimental officers might be improving their arrest records by making arrests on less evidence than were comparison officers.

No simple formula can be presented on what needs to be done to verify the accuracy of records for a specific purpose. The test is one of skepticism. One must be satisfied that it is unlikely that the apparent results could have come from bias in the statistics.

b. *Field testing*. No amount of analytical thinking can replace an actual field test to see how a new form will be used or a new order interpreted.

The people who are expected to use a form can often point out inconveniences which will be caused by a new procedure. Such inconveniences can generate resistance to an entire new program. In addition, the manager who asks for comments on new measures conveys the message that the opinions of affected employees *count*. To reinforce this message, it is good practice to explain the results of the pretest to the involved officers, including a discussion of why different suggestions were or were not accepted.

In Rochester, a new forced-choice form for preliminary investigations was developed using a pretest. Nevertheless, it was decided that the format would be used in six police cars so that officers, supervisors and detectives could make suggestions based on experience. The pretest showed that a few more modifications to the form needed to be made.

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[11] Alfred I. Schwartz and Sumner N. Clarren, *Evaluation of Cincinnati's Community Sector Team Policing Program: A Progress Report: The First Six Months, Summary of Major Findings*, The Urban Institute (WP 3006-4).

[12] Mort Bard and Joseph Zacker have reached this conclusion in the course of a study of conflict management in Norwalk, Connecticut. The Police Foundation, which funded the study, is expected to publish it in the near future.

APPENDIX D
MATERIALS ON MANAGEMENT BY OBJECTIVES

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MANAGEMENT BY OBJECTIVES

The prime asset of an organization is its human resources, but to use this asset effectively, the organization must generate within its members a desire to contribute to its goals. MANAGEMENT BY OBJECTIVES is a management approach designed to stimulate and direct this desire.

A. Definition

The Cincinnati Police Division uses the following definition (attributed to management theorist George Odiorne) of Management by Objectives:

> A process whereby superior and subordinate jointly identify the common goals of their organization, define each individual's major areas of responsibility in terms of the results expected, and use these measures as guides for operating the unit and assessing the contribution of each of its members.

B. Key Elements

The essence of M.B.O. is summarized in the following five key elements of Idiorne's definition:

- Process
- Common Goals
- Results
- Joint Identification
- Assessment

1. *Process.* Management by Objectives requires continually determining:

   a. *What* the organization must do to fulfill its basic purposes.
   b. *How* it must be done (the program steps or plan of action required to accomplish it).
   c. *When* it must be done.
   d. *How much* it will cost.
   e. *What* constitutes satisfactory *performance*.
   f. How much *progress* is being *achieved*.
   g. *When* and *how* to take *corrective action*.

Thus, M.B.O. implies both a planning function, represented by steps (a) through (d) above, and a controlling function, represented by steps (e) through (g).

2. *Common goals.* Common goals broadly define the fundamental line of endeavor in which the organization is engaged and the results it hopes to achieve. They are the standards by which the organization guides its activities.

In addition, each unit or work group within an organization has its own reason for existence, therefore will have its own goals, selected so they contribute to the common goals of the total organization.

3. *Results.* Each goal is translated into a number of objectives — measurable targets to be achieved in specific areas. The results achieved can then be compared to the objectives so that the need for modifying or redirecting efforts can be seen. Objectives are set for the total organization, each unit, and each individual.

For an individual, objectives constitute the actual responsibilities for his particular job, and thus they provide a current and concrete job description.

4. *Joint Identification.* The uniqueness of the M.B.O. process lies in the means by which common goals and objectives are identified.

Where M.B.O. is not employed, goals and objectives are usually identified by one level of management and then given to the next level in the form of a mandate. The M.B.O. approach, in contrast, gives the responsibility for planning to the individuals or units who have the responsibility for achievement. Each superior and his subordinate jointly identify the basic purposes in which they are engaged and the specific results which they are attempting to accomplish. The subordinate prepares his perception of the goals and objectives for his area responsibility. Concurrently, each superior prepares goals and objectives for each of his subordinates. Then superior and subordinate meet to discuss the goals and objectives and arrive at a consensus on a final list for the subordinate.

This joint identification of goals and objectives generally produces several positive results:

   a. The plans produced tend to be more realistic than ones generated by other methods.
   b. Subordinates obtain a better understanding of the total situation in which they are involved through consideration of the organization's goals and objectives.

c. The subordinate and superior concretely understand the exact nature and scope of the subordinate's responsibilities or expected accomplishments.
d. The subordinate generally feels a commitment to the goals and objectives because they are a product of his own efforts.

5. *Assessment.* The agreed-upon objectives become the standards against which progress of the organization, its units, and its individuals can be measured and assessed. This part of the M.B.O. process constitutes the management function of controlling. Through assessment, an organization determines whether the work performed is consistent with what was planned and the desired results are actually occurring.

This controlling function is accomplished as superiors regularly meet with their subordinates to determine progress; during these reviews, potential and actual problems are identified and corrective action planned.

C. An Independent Evaluation of M.B.O.

Managing by objectives is a concept easy to grasp, yet difficult to apply; it can take managers from three to five years of intense work to put the principle into practice. This is the conclusion the National Industrial Conference Board (NICB) reached as the result of one of its studies. The Board studied the practices of several hundred companies using the concept as a total approach to managing.

The companies listed several difficulties in applying management by objectives. There is a problem in selecting objectives so that one manager does not attain his goals at the expense of another. Likewise, it is difficult to find valid measures to determine whether objectives have actually been achieved. Some managers may concentrate exclusively on achieving their stated goals and neglecting other aspects of their responsibilities. Also, major organizational and administrative changes have sometimes been required before the full benefits of management by objectives were realized.